

## EMPLOYEE RECOGNITION AND AWARDS

- 1. REASON FOR ISSUE:** To issue Department of Veterans Affairs (VA) policy regarding employee recognition and awards.
- 2. SUMMARY OF CONTENTS/MAJOR CHANGES:** This directive brings VA's recognition and awards policy into alignment with the performance appraisal system. It emphasizes timely recognition of individuals and groups of employees who make contributions in support of organizational goals and objectives. In addition, the directive incorporates policy on special advancements and cash awards for title 38 employees.
- 3. RESPONSIBLE OFFICE:** The Human Resources Management Programs and Policies Service (051), Office of the Deputy Assistant Secretary for Human Resources.
- 4. RELATED HANDBOOK:** VA Handbook 5017, "Employee Recognition and Awards."
- 5. RESCISSIONS:** Refer to the Transmittal Sheet for VA Directive 5001, "General Introduction and Administration."

**CERTIFIED BY:**

**BY DIRECTION OF THE SECRETARY  
OF VETERANS AFFAIRS:**

/s/John A. Gauss  
Assistant Secretary for  
Information and Technology

/s/Jacob Lozada, Ph.D.  
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## EMPLOYEE RECOGNITION AND AWARDS

**1. PURPOSE.** This directive establishes VA's policy on employee recognition and awards. It also establishes policy for special advancements for achievement and performance for title 38 employees as well as cash awards for registered nurses and nurse anesthetists. Procedures for implementing the policies in this directive are found in VA Handbook 5017, Employee Recognition and Awards.

### 2. POLICY

a. It is the policy of the Department to recognize individual employees who make contributions in support of the mission, organizational goals and objectives, and VA's Strategic Plan.

b. The Department shall also provide advancement opportunities for physicians, dentists, podiatrists, optometrists, registered nurses, nurse anesthetists, physician assistants and expanded-function dental auxiliaries appointed under authority of 38 U.S.C. 7401(1) or 7405(a)(1)(A); pharmacists, physical therapists, occupational therapists, certified respiratory therapists, registered respiratory therapists, and licensed practical or vocational nurses appointed under authority of 38 U.S.C. 7401(3) or 7405(a)(1)(B). Such advancement opportunities shall be predicated on the recognition of quality service rendered, additional experience and professional attainment as determined by an examination of the employee's individual record. Advancement opportunities shall include Special Advancements for Achievement and Performance. In addition, advancement opportunities shall include cash awards for full time, part time, and intermittent registered nurses and nurse anesthetists appointed under 38 U.S.C. 7306, 7401(1) and 7405.

c. VA's recognition and awards programs will be administered using the following principles and practices:

(1) Recognition has its greatest impact when it is provided as soon as possible following the contribution or achievement.

(2) The views of employees and employee representatives are critical to the program's effectiveness in motivating employees.

(3) The form of recognition used should be appropriate to the contribution that was made.

(4) When a desired outcome results from a group or team effort, all contributing members of the team should be recognized. The amount of recognition per team member may vary depending on the level of contribution.

(5) Appropriate presentation and adequate publicity are important to the program.

(6) Employee representatives should be involved in the development, implementation, and review of specific recognition programs.

### 3. RESPONSIBILITIES

a. **Secretary of Veterans Affairs.** The Secretary of Veterans Affairs has overall responsibility for providing leadership in the Department's Employee Recognition and Awards Program.

b. **Under Secretary for Health.** The Under Secretary for Health, or a designee, shall approve advancements of title 38 employees covered under the scope of this directive.

c. **Assistant Secretary for Human Resources and Administration.** The Assistant Secretary for Human Resources and Administration is responsible for the overall implementation and administration of VA's Employee Recognition and Awards Program. Included in this delegation is authority to approve all honorary awards granted by the Secretary.

d. **Deputy Assistant Secretary for Human Resources Management (DAS/HRM).** The DAS/HRM is responsible for:

(1) Providing program policy and guidance.

(2) Consulting with VA organizations on the appropriate use of awards and the development and implementation of organizational awards programs.

e. **Administration Heads, Assistant Secretaries, Other Key Officials, and Field Facility Directors.** Administration Heads, Assistant Secretaries, Other Key Officials and field facility directors will provide leadership to VA's employee recognition and awards program by:

(1) Providing maximum support by designating adequate resources for program administration and training.

(2) Ensuring that the latest concepts in recognition are integrated when implementing organizational award programs.

(3) Delegating to lower level officials appropriate authority to develop recognition programs and to act on awards recommendations.

(4) Evaluating the employee recognition and awards program periodically to identify specific strengths and weaknesses, develop improved procedures, and establish goals and objectives to direct future program efforts.

(5) Giving due weight to an award granted under this program in qualifying and selecting a title 5 employee for promotion as required in title 5, United States Code, section 3362 and part II of VA Handbook 5005, Staffing.

(6) Designating (an) awards liaison(s) who will provide advice, assistance and other support to ensure the effective administration of organizational awards and recognition programs.

f. **Managers, Supervisors and Group and Team Leaders.** Being in the best position to identify achievements and improvements in customer service, managers, supervisors and group and team leaders are responsible for:

(1) Being knowledgeable about the employee recognition and awards program and sharing this knowledge with employees to support the achievement of organizational goals.

(2) Identifying and recommending awards promptly for employees whose performance, contributions or ideas merit formal recognition.

(3) Supporting the employee recognition and awards program by utilizing awards in a consistent and equitable manner.

(4) Encouraging employees to submit suggestions and assisting in the development and testing of ideas when requested.

#### **4. REFERENCES**

- a. 5 U.S.C., chapter 45
- b. 5 CFR, part 451
- c. 5 U.S.C. 5336
- d. 5 CFR, part 531, subpart E
- e. 5 U.S.C. 5307
- f. 5 CFR, part 530, subpart B
- g. 38 U.S.C. 7304, 7306, 7401, 7403, 7405 and 7452



## EMPLOYEE RECOGNITION AND AWARDS

- 1. REASON FOR ISSUE:** To issue Department of Veterans Affairs (VA) procedures regarding employee recognition and awards.
- 2. SUMMARY OF CONTENTS/MAJOR CHANGES:** This handbook sets forth mandatory procedures previously contained in numerous other issuances. No substantive changes have been made.
- 3. RESPONSIBLE OFFICE:** The Human Resources Management Programs and Policies Service (051), Office of the Deputy Assistant Secretary for Human Resources.
- 4. RELATED DIRECTIVE:** VA Directive 5017, "Employee Recognition and Awards."
- 5. RESCISSIONS:** Refer to the Transmittal Sheet for VA Handbook 5001, "General Introduction and Administration."

**CERTIFIED BY:**

**BY DIRECTION OF THE SECRETARY  
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Assistant Secretary for  
Information and Technology

/s/Jacob Lozada, Ph.D.  
Assistant Secretary for Human  
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**EMPLOYEE RECOGNITION AND AWARDS**

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## EMPLOYEE RECOGNITION AND AWARDS

## PART I. GENERAL PROVISIONS

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**PART I. GENERAL PROVISIONS****1. PURPOSE**

a. This handbook contains both mandatory Department of Veterans Affairs (VA) policies, procedures and suggested guidelines for administration of effective employee recognition and awards programs that help motivate employees to make contributions that support and enhance organizational goals and objectives.

b. This handbook also:

(1) Establishes criteria for determining eligibility for quality step increases;

(2) Revises VA's scales of awards for granting time off and monetary awards; and

(3) Promotes the use of Special Award Programs that are directly linked to the achievement of organizational goals and objectives, including Productivity/Gainsharing Awards Program.

(4) Incorporates title 38 advancements (Special Advancements for Achievement and Performance) and cash awards policy, instructions, procedures and guidance into part V of this handbook.

**2. DEFINITIONS**

a. **Award.** A generic reference to the entire range of rewards available to recognize an employee under VA's Employee Recognition and Awards Program including cash, non-monetary, honorary and time off awards. (Unless otherwise noted, those title 38 employees covered under part V of this handbook are also covered under VA's Employee Recognition and Awards Program.)

b. **Employee.** For purposes of VA's Employee Recognition and Awards Program, an employee means an individual who is:

(1) Appointed in the civil service by one of the following, acting in an official capacity:

(a) The President;

(b) A Member or Members of Congress, or the Congress;

(c) A member of a uniformed service;

(d) An individual who is an employee under 5 U.S.C., section 2105;

(e) The head of a Government controlled corporation; or

(f) An adjutant general designated by the Secretary concerned under section 709(c) of title 32;

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(2) Engaged in the performance of a Federal function under authority of law or an Executive act; and

(3) Subject to the supervision of an individual named by subparagraph (1) above while engaged in the performance of the duties of a position.

(4) Currently performing at a successful level. (Performance requirements for Special Advancements and awards for Exemplary Job Performance and Exemplary Job Achievement for title 38 employees are contained in part V of this handbook.)

c. **Key Officials.** For the purpose of this policy directive only, "key officials" refers to the following specified officials: Administration Heads, Assistant Secretaries, Other Key Officials within VA Central Office, and key field officials (network and field facility directors and equivalent officials).

d. **Necessary Expenses.** Costs associated with recognition under VA's awards program that enhance the honor and distinction given the award recipient(s).

### 3. PAYMENT OF AWARDS AND NECESSARY EXPENSES RELATED TO EMPLOYEE RECOGNITION

a. Normally cash awards are paid by the organization(s) benefiting from the contribution. In cases where the organization primarily benefiting from the contribution is not the recipient's employing organization, funds may be transferred to the employing organization to cover the award amount.

b. When a cash award is approved by a VA organization for a suggestion or contribution made by an employee of another Federal agency, arrangements shall be made to transfer funds to the recipient's employing agency unless the administrative costs associated with transferring funds would exceed the amount of the award.

c. Appropriated funds may be expended to purchase award items to be used in connection with recognition granted under VA's employee recognition and awards program.

d. If deemed appropriate by the organization head or designee, travel and per diem expenses may be paid for an award recipient(s) and his or her guest or attendant to attend an awards ceremony to receive an award from the funds or appropriations available to the organization to which the employee is assigned, the organization primarily benefiting from the contribution, or from several funds or appropriations of the various organizations benefiting.

e. Appropriated funds may be expended to pay for ceremonial expenses (see part IV, appendix B of this handbook for information on planning a ceremony) and to furnish light refreshments at awards ceremonies when:

(1) The ceremony is truly "ceremonial" and is not a part of the organization's typical day-to-day activities; and

(2) A determination is made by the organization head that light refreshments would enhance the effectiveness of the awards ceremony.

f. Decisions regarding other expenses in connection with awards that involve expenditure of appropriated funds will be determined based on application of relevant Comptroller General decisions and VA financial policy. A summary of Comptroller General decisions relevant to the employee recognition program is located in part III, appendix E of this handbook.

g. Expenses for appropriate promotion, publicity and administration of awards may be incurred at the discretion of key officials as a necessary expense of administering their awards programs in accordance with VA financial policy. Necessary expenses may include appropriate items which enhance the ceremony and presentation of awards.

**4. AUTHORITY TO APPROVE AWARDS.** Authority to approve awards is subject to the provisions outlined below except that as a courtesy, any award being recommended for an employee of another organization should receive concurrence by the appropriate official in the employing organization.

a. **Cash Awards.** All cash awards that are recommended at a level lower than a key official must be approved at a higher management level than that which recommended and be within that official's delegated approval authority. Key officials, including the Secretary and Deputy Secretary, may act as both the recommending and approving official on all monetary awards within their delegated approval authority. This authority may be re-delegated.

(1) Administration Heads, Assistant Secretaries and other Central Office organization heads may approve special contribution and productivity/gainsharing awards up to and including \$7,500 for individual employees under their jurisdiction, awards of up to and including \$10,000 for individuals as suggestion awards, and group special contribution awards of up to \$25,000 provided no member of the group receives more than \$7,500. This authority may be re-delegated.

(2) The Secretary may approve individual cash awards up to \$10,000 and may approve group awards in excess of \$10,000 providing no one group member receives more than \$10,000.

(3) The Under Secretary for Health's delegation for cash award approval may be found in appendix B of this part.

(4) The Under Secretary for Memorial Affairs' delegation for cash award approval may be found in appendix C of this part.

(5) The Under Secretary for Benefits' delegation for cash award approval is as follows:

1. Facility directors, program and staff office directors and the associate deputies for operations (east & west) have the authority to approve special contribution awards up to \$5000 for an individual and up to \$10,000 for a group so long as no one employee receives more than \$5000.

2. The Deputy Under Secretaries for Management and Operations are delegated authority to approve individual special contribution awards up to \$7500 and group awards up to \$25,000 so long as no one employee receives more than \$7500.

3. All special contribution awards within VBA will normally be signed at two approval levels. However, facility directors and Deputy Under Secretaries may act as both recommending and approving officials as necessary.

4. All special contribution award nominations exceeding monetary approval limits will be sent through channels to the appropriate approval level.

(6) Awards for an individual employee in excess of \$10,000 up to \$25,000 must be reviewed and approved by the Office of Personnel Management.

b. **Time Off Awards.** Key officials are authorized to approve time off awards up to 40 hours. Unless otherwise covered in a supplemental organizational policy issued by a key official, all time off awards in excess of 1 work day must be approved at a higher level than the individual who recommended the award.

c. **Honor Awards.** The Assistant Secretary for Human Resources and Administration is authorized to approve Secretary's awards. Key officials are authorized to approve organizational honor awards and may delegate that authority to lower levels.

## 5. AWARD RESTRICTIONS

a. **Aggregate Salary Limitation.** The amount of combined basic pay, allowance, differential, bonus award or other cash payment that an employee can receive during the calendar year is limited to the salary of Executive Level 1, except for title 38 physicians and dentists where the calendar year limitation is the salary of the President of the United States. Should this limitation be a concern when recommending recognition for an employee, consult with your organization's finance officer for assistance in determining the projected total compensation for that individual through the end of the calendar year.

b. **Limitations during Presidential Election (5 U.S.C. 4508).** During the period beginning June 1 in a calendar year in which a Presidential election occurs, and ending January 20 following the date of the election, monetary awards may not be granted to:

(1) An individual in a Senior Executive Service position who is not a career appointee as defined in 5 U.S.C. 3132(a)(4); or

(2) An individual in an excepted service position of a confidential or policy-determining nature (schedule C).

c. **Employees in Executive Schedule Positions (5 U.S.C. 4509).** In accordance with law, a cash award may not be granted to:



- (1) An individual in an Executive Schedule position; or
- (2) An individual for which pay is set in statute by reference to a section or level of the Executive Schedule.

## **6. AWARD AND SUGGESTION RECORDS**

- a. A case number will be assigned for identification and coding purposes to each cash, honorary and time off award.
- b. Awards must be documented, filed and reported in accordance with OPM requirements. Each servicing human resources office will maintain employee recognition records, including the forms and the justification/documentation to support award actions, for a period of 2 years from the approval date. Records of employee suggestions and the action taken on them will be retained for a period of 2 years from the date of final action on the suggestion.
- c. Form SF-50B, Notification of Personnel Action, which documents approved cash and honor awards will be filed on the left hand side of the personnel folder. Only Form SF-50B documenting Quality Step Increases will be permanently filed on the right hand side in the employee's personnel folder. A copy of VA Forms 4659, 4239 or equivalent form produced for use with a special award program, along with supporting documentation, must be retained by either the organization's award liaison for the HRM office for a period of 2 years from the approval date. A copy of VA Forms 4659, 4239, or equivalent, may be filed in the employee's Employee Performance File.



# APPENDIX A. EMPLOYEE RECOGNITION AT A GLANCE

	AWARD	RECOGNIZES	FORM OF RECOGNITION	JUSTIFICATION NEEDED	ELIGIBILITY
AWARDS BASED ON A SPECIFIC CONTRIBUTION	Special Contribution Award (includes “On-the-Spot” and Time Off Awards).	A contribution, act, service, or achievement that benefits VA/ Government. See part III and its appendix B for examples of contributions.	SCA - Cash Award of up to \$7,500 for an individual and \$25,000 for a group based on tangible and/or intangible benefits to VA/Federal Government.  On-the-Spot - Minimal Cash Award, usually \$150 or less, that is granted as soon as possible after contribution of limited impact is made. May also include a non-monetary award item.  Time Off - from 4 to 40 hours for a specific contribution. Employee may receive up to 80 hours during a 12-month period.	Narrative description of act and how it benefited government. See part III, appendix D. Can document SCAs using VA Form 4659a.	Individual employees, groups or teams (SES ineligible for Time Off Awards.)

APPENDIX A. EMPLOYEE RECOGNITION AT A GLANCE (CONTINUED)

	AWARD	RECOGNIZES	FORM OF RECOGNITION	JUSTIFICATION NEEDED	ELIGIBILITY
AWARDS BASED ON PERFORMANCE	Quality Step Increase	Exceptional performance during the most recent performance appraisal cycle.	Adjustment in base pay to next step of grade.	Narrative description demonstrating exceptional performance on all job elements and how performance contributed to accomplishment of organizational goals and objectives.	Individual GS employees only.
	Gainsharing Award	Improvements in performance or productivity that are measurable as increases in productivity and that result in more effective and efficient use of resources.	Typically cash award based on pre-determined formula for measuring and sharing gains distributed to employees who produce gains.	Sufficient data to demonstrate improvements in quality, quantity and/or timeliness realized and basis for each employee's share based on increases in productivity.	Individual employees, groups or teams.

# **APPENDIX A. EMPLOYEE RECOGNITION AT A GLANCE (CONTINUED)**

OTHER AWARDS	Honor Award	Contributions or achievements that are unique and deserving of recognition beyond or other than that provided by cash.	Typically a plaque, certificate, medal, desk item or other item used to bestow honor.	Narrative description of contribution or achievement being recognized by the particular award and benefits to VA.	Individual employees, groups of employees.
	Non-monetary Award	Contributions or achievements that may not warrant a cash award or may supplement a cash or time off award.	Award items of nominal value such as pen-and-pencil sets, mugs, water bottles, desk organizers, etc. whose primary value is as a form of recognition and not as an object with monetary value.	Brief narrative description of contribution or achievement being recognized by the particular type of award.	Individual employees, groups of employees.



**APPENDIX B. VHA DELEGATION OF APPROVAL AUTHORITY FOR CASH AWARDS, SUGGESTIONS, TIME OFF AWARDS, AND QUALITY STEP INCREASES**

**1. SPECIAL CONTRIBUTION AWARDS**

**a. VA Central Office**

(1) The Under Secretary for Health is authorized to approve up to and including **\$7,500** for individual special contribution awards and up to and including **\$25,000** for group special contribution awards for all eligible employees under VHA jurisdiction.

(2) The Deputy Under Secretary for Health is authorized to approve up to and including **\$7,500** for individual special contribution awards for all eligible employees under VHA jurisdiction.

(3) The Assistant Deputy Under Secretary for Health is authorized to approve up to and including **\$7,500** for individual special contribution awards for all eligible employees under VHA jurisdiction.

(4) Chief Officers are authorized to approve up to and including **\$5,000** for individual special contribution awards for eligible Senior Executive Service (SES) employees, for employees in pay categories through the GS-15 level, for equivalent title 38 employees (e.g., physicians, dentists, nurses), and Executive Grade physicians and dentists. **Approval authority may be re-delegated, as appropriate.**

(5) Chief consultants and staff office directors are authorized to approve up to and including **\$3,000** for individual special contribution awards for eligible employees in pay categories through the GS-15 level, for equivalent title 38 employees (e.g., physicians, dentists, nurses), and Executive Grade physicians and dentists. **Approval authority may not be re-delegated.**

**NOTE:** *When approving **group** special contribution awards, the award amount for any employee within a group cannot exceed the approving official's dollar limit for an individual special contribution award (e.g., the Under Secretary for Health can approve group special contribution awards up to and including \$25,000, as long as the award amount for any employee within the group does not exceed \$7,500). Special contribution award amounts must be consistent with the Scales of Awards Based on Tangible and Intangible Benefits located in part III, appendix A of this handbook. The approval official must be at a higher management level than the official who recommended the award. **The Under Secretary for Health may act as both a recommending and approving official.***

**b. VHA Field Facilities**

(1) Network directors are authorized to approve up to and including **\$5,000** for individual special contribution awards and up to and including **\$16,500** for group special contribution awards for eligible Senior Executive Service (SES) employees, for employees in pay categories through the GS-15 level, for equivalent title 38 employees (e.g., physicians, dentists, nurses), and Executive Grade physicians and dentists.

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(2) Facility directors are authorized to approve up to and including **\$3,000** for individual special contribution awards and up to and including **\$10,000** for group special contribution awards for eligible employees in pay categories through the GS-15 level, for equivalent title 38 employees (e.g., physicians, dentists, nurses), and Executive Grade physicians and dentists. **Approval authority may be re-delegated, as appropriate.**

**NOTE:** *When approving **group** special contribution awards, the award amount for any employee within a group cannot exceed the approving official's dollar limit for an individual special contribution award (e.g., the Network Director can approve group special contribution awards up to and including \$16,500, as long as the award amount for any employee within the group does not exceed \$5,000). Award amounts must be consistent with the Scales of Awards Based on Tangible and Intangible Benefits located in part III, appendix A of this handbook. The approval official must be at a higher management level than the official who recommended the award. **Key officials (i.e., network and field facility directors) may act as both the recommending and approving official.***

## 2. EMPLOYEE SUGGESTIONS

### a. VA Central Office

(1) The Under Secretary for Health is authorized to approve up to and including **\$10,000** for individual and group suggestion awards for eligible employees.

(2) The Deputy Under Secretary for Health is authorized to approve up to and including **\$8,750** for individual and group suggestion awards for eligible employees.

(3) The Assistant Deputy Under Secretary for Health and chief officers are authorized to approve up to and including **\$7,500** for individual and group suggestion awards for eligible employees.

(4) Chief consultants and staff office directors are authorized to approve up to and including **\$5,000** for individual and group suggestion awards for eligible employees.

**NOTE:** *Award amounts for suggestions must be consistent with the Scales of Awards Based on Tangible and Intangible Benefits located in part III, appendix A of this handbook.*

### b. VHA Field Facilities

(1) Network directors are authorized to approve up to and including **\$7,500** for individual and group suggestion awards for eligible employees.

(2) Facility directors are authorized to approve up to and including **\$5,000** for individual and group suggestion awards for eligible employees. **Approval authority may be re-delegated, as appropriate.**

**NOTE:** *Award amounts for suggestions must be consistent with the Scales of Awards Based on Tangible and Intangible Benefits located in part III, appendix A of this handbook.*



### 3. TIME OFF AWARDS

#### a. VA Central Office

(1) The Under Secretary for Health is authorized to approve time off awards up to and including **40 hours** for eligible employees in pay categories through the GS-15 level and for equivalent title 38 employees (e.g., physicians, dentists, nurses).

(2) The Deputy Under Secretary for Health is authorized to approve time off awards up to and including **32 hours** for eligible employees in pay categories through the GS-15 level and for equivalent title 38 employees (e.g., physicians, dentists, nurses).

(3) The Assistant Deputy Under Secretary for Health and chief officers are authorized to approve time off awards up to and including **24 hours** for eligible employees in pay categories through the GS-15 level and for equivalent title 38 employees (e.g., physicians, dentists, nurses).

(4) Chief consultants and staff office directors are authorized to approve time off awards up to and including **16 hours** for eligible employees in pay categories through the GS-15 level and equivalent title 38 employees (e.g., physicians, dentists, nurses). **Supervisors below the chief consultant and staff office director level may recommend time off awards, however, they may not approve time off awards.**

**NOTE:** *Employees in the Senior Executive Service (SES), physicians and dentists at Director Grade level, and appointees under 38 U.S.C. 7406 are excluded from receiving time off awards. All time off awards in excess of one day must be approved by an official at a higher management level than that which recommended the award. Not more than 40 hours may be granted to an employee for a specific contribution; however, the maximum amount of time off that may be granted to any employee during a 12-month period is 80 hours. The number of hours granted for a time off award must be consistent with the Scale of Time Off Awards located in part III, appendix F of this handbook. **The Under Secretary for Health may act as both a recommending and approving official.***

**b. VHA Field Facilities.** Network directors and facility directors are authorized to approve time off awards of up to and including **40 hours** for eligible employees in pay categories through the GS-15 level and for equivalent title 38 employees (e.g., physicians, dentists, nurses). **Approval authority may be re-delegated, as appropriate.**

**NOTE:** *Employees in the Senior Executive Service, physicians and dentists at Director Grade level, and appointees under 38 U.S.C. 7406 are excluded from receiving time off awards. All time off awards in excess of one day must be approved by an official at a higher management level than that which recommended the award. Not more than 40 hours may be granted to an employee for a specific contribution; however, the maximum amount of time off that may be granted to any employee during a 12-month period is 80 hours. The number of hours granted for a time off award must be consistent with the Scale of Time Off Awards located in part III, appendix F of this handbook. **Key officials (i.e., network and field facility directors) may act as both the recommending and approving official.***

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## 4. QUALITY STEP INCREASES

## a. VA Central Office

(1) The Under Secretary for Health, Deputy Under Secretary for Health, Assistant Deputy Under Secretary for Health, and chief officers are authorized to approve quality step increases for all eligible employees under VHA jurisdiction in pay categories through the **GS-15 level**.

(2) Chief consultants and staff office directors are authorized to approve quality step increases for eligible employees in pay categories through the **GS-14 level**.

**NOTE:** *Only General Schedule employees are eligible to receive quality step increases. The approval official for quality step increases must be at a higher management level than the official who recommended the increase. The Under Secretary for Health may act as both a recommending and approving official.*

b. **VHA Field Facilities.** Network directors and facility directors are authorized to approve quality step increases for eligible employees in pay categories through the **GS-15 level**. **Approval authority may be re-delegated, as appropriate.**

**NOTE:** *The approval official for quality step increases must be at a higher management level than the official who recommended the increase. Key officials (i.e., network and field facility directors) may act as both the recommending and approving official.*

**APPENDIX C. NCA DELEGATION OF APPROVAL AUTHORITY FOR CASH, TIME OFF AND SUGGESTION AWARDS, AND QUALITY STEP INCREASES**

**1. PURPOSE.** To delegate the authority within the National Cemetery Administration (NCA) to approve incentive awards in accordance with Department of Veterans Affairs (VA) policy regarding employee recognition and rewards under the authority of United States Code, Chapter 45, Section 512(a).

**2. KEY OFFICIALS.** For the purpose of this delegation, “key officials” refer to the following specified officials: Under Secretary for Memorial Affairs; Deputy Under Secretary for Operations; Deputy Under Secretary for Management; Director, Office of Field Programs; Director, Office of Construction Management; Director, Office of Finance and Planning; Service Directors within VA Central Office; Memorial Service Network (MSN) Directors; and, Cemetery Directors.

**3. CASH AND TIME OFF AWARDS.** Key officials as defined in paragraph 2 above, may serve as both the recommending and approving official. Awards recommended above the delegated authority amount will require two signatures (the recommending official and the key official) prior to being submitted for approval.

**4. DELEGATION.** The authority to approve incentive awards is delegated as follows:

**a. Special Contribution Awards (SCAs) – VA Central Office**

(1) The Under Secretary for Memorial Affairs is authorized to recommend and approve SCAs up to and including \$7,500 for individuals, and \$25,000 for group awards for all eligible employees provided no member of the group receives more than \$7,500.

(2) The Deputy Under Secretary for Operations and the Deputy Under Secretary for Management are authorized to recommend and approve SCAs up to and including \$5,000 for individuals and \$15,000 for group awards for all eligible employees provided no member of the group receives more than \$5,000.

(3) The Director, Office of Field Programs; the Director, Office of Construction Management; and the Director, Office of Finance and Planning, are authorized to recommend and approve SCAs up to and including \$4,000 for individuals and \$10,000 for group awards for all eligible employees provided no member of the group receives more than \$4,000.

(4) Service directors in the Offices of the Deputy Under Secretary for Operations and the Deputy Under Secretary for Management are authorized to recommend and approve SCAs up to and including \$3,000 for individuals and \$8,000 for group awards for all eligible employees provided no member of the group receives more than \$3,000.

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**b. Special Contribution Awards (SCAs) - Field Facilities**

(1) MSN directors are authorized to recommend and approve SCAs up to and including \$3,000 for individuals and \$8,000 for group awards for all eligible employees provided no member of the group receives more than \$3,000.

(2) Cemetery directors are authorized to recommend and approve SCAs as follows:

(a) GS-13 and GS-14, up to and including \$2,000 for individuals and \$5,000 for group awards for all eligible employees provided no member of the group receives more than \$2,000;

(b) GS-11 and GS-12, up to and including \$1,500 for individuals and \$3,500 for group awards for all eligible employees provided no member of the group receives more than \$1,500; and,

(c) GS-9, up to and including \$1,000 for individuals and \$2,000 for group awards for all eligible employees provided no member of the group receives more than \$1,000.

**c. Time Off Awards – VA Central Office**

(1) The Under Secretary for Memorial Affairs, the Deputy Under Secretary for Operations, and the Deputy Under Secretary for Management are authorized to recommend and approve up to 40 hours of time off for all eligible employees.

(2) The Director, Office of Field Programs, the Director, Office of Construction Management, and the Director, Office of Finance and Planning, are authorized to recommend and approve up to 27 hours of time off (or the equivalent of 3 workdays) for all eligible employees.

(3) Service directors in the Offices of the Deputy Under Secretary for Operations and the Deputy Under Secretary for Management are authorized to recommend and approve up to 18 hours of time off (or the equivalent of 2 workdays) for all eligible employees.

**d. Time Off Awards – Field Facilities**

(1) MSN directors are authorized to recommend and approve up to 18 hours of time off (or the equivalent of 2 workdays) for all eligible employees.

(2) Cemetery directors are authorized to recommend and approve up to 8 hours of time off (or the equivalent of 1 workday) for all eligible employees.

**e. Suggestion Awards – VA Central Office**

(1) The Under Secretary for Memorial Affairs is authorized to recommend and approve a suggestion award up to and including \$10,000 for all eligible employees.

(2) The Deputy Under Secretary for Operations and the Deputy Under Secretary for Management are authorized to recommend and approve suggestion awards up to and including \$7,500 for all eligible employees.

(3) The Director, Office of Field Programs; the Director, Office of Construction Management; and the Director, Office of Finance and Planning are authorized to recommend and approve suggestion awards up to and including \$5,000 for all eligible employees.

(4) Service directors in the Offices of the Deputy Under Secretary for Operations and the Deputy Under Secretary for Management are authorized to recommend and approve suggestion awards up to and including \$3,000 for all eligible employees.

**f. Suggestion Awards – Field Facilities**

(1) MSN directors are authorized to recommend and approve suggestion awards up to and including \$3,000 for all eligible employees.

(2) Cemetery directors are authorized to recommend and approve suggestion awards as follows:

(a) GS-13 and GS-14 up to and including \$2,000 for all eligible employees,

(b) GS-11 and GS-12 up to and including \$1,500 for all eligible employees, and,

(c) GS-9 up to and including \$1,000 for all eligible employees.

**g. Quality Step Increase (QSI).** Only the Under Secretary for Memorial Affairs; the Deputy Under Secretary for Operations; the Deputy Under Secretary for Management; the Director, Office of Field Programs; the Director, Office of Construction Management; the Director, Office of Finance and Planning; service directors in the Offices of the Deputy Under Secretaries; and MSN directors are authorized to recommend and approve Quality Step Increases. A QSI is an increase to an employee's rate of basic pay from one step of the grade to the next step that is granted in recognition of excellence in performance during the last appraisal cycle. Cemetery directors may recommend QSIs for approval by their MSN directors.

**5. PROCEDURES.** Use the following procedures to submit awards:

a. Submit SCAs and Time Off award recommendations on VA Form 4659, Incentive Awards Recommendation and Approval, or VA Form 4659a, Awards Justification. Submit QSIs on VA Form 4659, along with the performance appraisal. For further instructions, refer to part III of this handbook.

b. Use Scale of Awards Based on Intangible or Tangible Benefits found in appendix III-A of this handbook. Note that awards must be consistent with this scale.

c. Submit award justification for review to the NCA Human Resources Division (402D1), or servicing personnel unit prior to submission for approval, as appropriate. Human Resources personnel

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APPENDIX C

are responsible for reviewing award justifications to ensure that they meet the criteria prior to submission for approval.

d. Awards will be coordinated with appropriate budget officials to ensure the availability of funds in accordance with established budgetary procedures.

e. Seek concurrence from appropriate official(s) in an employee's organization when an award is recommended for an employee in another organization. Authority to approve awards is subject to the provisions of this delegation, but concurrence should be obtained from another organization for any award proposed for an employee in that organization.

**6. REDELEGATION.** Service directors and cemetery directors may re-delegate their authority to recommend or approve (but not both) to the next lower level supervisor. The award amount associated with this re-delegation will not exceed 75% of the original delegated authority.

EMPLOYEE RECOGNITION AND AWARDS

PART II. EMPLOYEE IDEAS AND INVENTIONS

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## PART II. EMPLOYEE IDEAS AND INVENTIONS

### 1. GENERAL PROVISIONS

a. To be accepted as a suggestion, the idea must be submitted in writing, define a problem or objective, present a solution or plan for improvement and tell how the solution will improve the efficiency, economy or effectiveness of Government operations or otherwise benefit the Government, except:

(1) Ideas that benefit employees such as holidays, leave, and insurance, or those involving services to employees such as working conditions, building and grounds, housekeeping, or routine safety practices generally are excluded from consideration unless there are also significant anticipated benefits to the Government from the idea.

(2) Submissions which are not constructive proposals offering specific means for improving operations or which contain assumptions or unsupported statements will not be accepted for consideration under the suggestion program.

b. Employee suggestions will be processed promptly, normally within 30 days of receipt.

c. Suggestions which are adopted locally but are believed to be useful elsewhere in VA or the Government will be forwarded to VACO for consideration for adoption on a wider scale.

d. Suggestions which cannot be evaluated or adopted locally because they are beyond the scope of local implementation will be forwarded to VACO, along with the facility's evaluation as to the merits or value of the idea.

e. Approval officials are responsible for implementing adopted suggestions and inventions and authorizing payment of cash awards as soon as possible.

f. Local employee recognition liaisons are responsible for circulating information on suggestions adopted for optional use to interested services/divisions and to their VACO awards' liaison.

g. All suggestions processed through the employee suggestion program have a 2-year award entitlement period during which, if the idea is subsequently adopted as a direct result of the employee's suggestion, or if any beneficial action traceable to the suggestion is taken, the suggestion should be reopened for award consideration.

h. Suggesters may request reconsideration of the decision on their suggestions.

i. Participation by employees in the suggestion program is voluntary.

j. Acceptance of a cash award for an employee suggestion or invention constitutes an agreement that the use of the idea, method or device for which the award was paid does not form the basis of a further claim against the Government by the employee.

## **2. SUGGESTION PROCEDURES**

- a. Suggestions must be submitted in writing, using either VA Form 3951, Employee Suggestion, or a memorandum.
- b. Employees may submit suggestions directly to their servicing HRM office.
- c. Suggestions will be evaluated on VA Form 4239, Action on Employee Suggestion.
- d. Employee recognition liaisons will coordinate the review of employee suggestions originating from or forwarded to their organization for review and evaluation.

## **3. SUGGESTION AWARDS**

- a. In order to qualify for a cash award, adopted suggestions must have measurable dollar benefits of at least \$250, or intangible benefits of comparable value, or a combination of both.
- b. Awards may be in the form of cash or time off. In determining the amount of the award for adopted suggestions, the appropriate scale of awards in part III, appendix A will be used.
- c. A cash award may be granted to an employee for an adopted suggestion which concerns matters within or outside job responsibilities.
- d. When warranted, a suggestion award may be supplemented based on benefits that are in addition to those realized by the original adoption of the suggestion.
- e. Once an award is accepted, the idea, method or device that was the subject of the suggestion becomes the exclusive property of the Government.
- f. Suggestion awards will be documented using VA Form 4239, and will contain a summary of the benefits resulting from adoption of the suggestion.

## **4. EMPLOYEE INVENTIONS**

- a. An employee or group of employees whose invention benefits the government and/or the public may be considered for a cash or honorary award.
- b. VA regulations 38 CFR, sections 1.650 - 1.666, Inventions by Employees of the Department of Veterans Affairs, require that the inventor(s) disclose the invention to VA at the earliest possible time. The submission of the disclosure must contain specific information in a specific format. Contact the Office of General Counsel for additional information. An inventor's report should be submitted whether or not the employee considers the invention to be related or unrelated to his or her job. The Office of General Counsel will notify the appropriate officials of their obligation to consider employee inventors for awards.

c. Upon notification from the Office of General Counsel of the employee's eligibility for an award, the following may be recommended:

(1) An initial award of \$300 may be recommended and approved when the reported invention has been favorably evaluated by VA as having value to its mission.

(2) An additional award of \$500 should be granted when the following conditions are met:

(a) A patent application is filed by VA,

(b) The Federal government owns the invention or has a license to it, and

(c) Upon notification that a patent has been issued or has been allowed.

(3) A further award may be granted on inventions owned by the U.S. Government based on tangible or intangible benefits to the extent the invention has benefited the Government under the following conditions:

(a) When the invention benefits the public as evidenced by the number of patent licenses granted, reports on commercialization from patent licenses and other information pertaining to the commercial use of inventions; and/or

(b) When the invention provides benefits to the Government as evidenced by Government use.

d. Award recommendations will be submitted on VA Form 4659.

e. If an employee inventor believes the value of the invention to the Government or the public has substantially increased since an award was made, the employee may seek reconsideration of the award amount. The opinion and recommendations of the General Counsel may be sought on this issue.



**APPENDIX A. EFFECTIVE SUGGESTION PROGRAM ADMINISTRATION**

**1. THE BENEFITS OF AN EMPLOYEE SUGGESTION PROGRAM.** While suggestions programs originally came about as a mechanism for saving money and resources by tapping into the creativity of employees, the benefits realized when an effective program is administered have gone well beyond saving money. Possibly the greatest benefit from a well-run suggestion program involves employee morale. With active and visible top management support, a suggestion program can greatly improve and enhance internal communications, employee involvement and employee empowerment, which are all desirable outcomes.

**2. TIMELINESS.** Critical to the suggestion program's success is the timeliness in which suggesters receive feedback on their idea. Typically, evaluations should be completed within 30 days of their receipt when local review is all that is necessary. An effective way to try to keep on top of processing these important employee ideas is to include suggestions as controlled correspondence as you send them out for evaluation. By doing so, you create a tracking record and deadline for follow-up and the suggestion won't get lost in the shuffle. If you are unable to meet the 30-day deadline for giving the suggester an evaluation, at least provide a note with a status report to keep the suggester informed. Conduct training sessions for individuals who regularly receive suggestions for evaluation. (Guidelines for evaluators appear at the end of this appendix.)

**3. EFFECTIVE PROMOTION AND PUBLICITY.** Give wide publicity to adopted ideas and use such publicity to encourage other employees to participate. Provide suggesters with tips to help them prepare their ideas. (Guidelines for employee suggesters appear later in this appendix.) Run special campaigns or contests to encourage employee participation and input. Provide general areas where specific solutions to problems are being sought and encourage employees to come up with solutions. Provide token items (such as a coffee mug or pen) to thank employees who participate by submitting a suggestion. Seek ideas through employee newsletters and bulletin boards.

**4. CHANGING THE MINDSET.** Suggestion programs often are viewed as just another "human resources" program and because of this view, often are given low priority on the list of things to do. Effective suggestion programs are run as an integral part of the day-to-day business of the organization and viewed in a positive manner as a "management efficiency" tool.

**5. THE ROLE OF THE SUGGESTION EVALUATOR**

a. Clearly the evaluator is a key player in the success of an employee suggestion program. It is important that an individual given responsibility to evaluate an employee idea have an open mind, be receptive to change, and be responsive to the employee making the suggestion. Lengthy delays in evaluating ideas, criticism of suggestions and employees making the suggestions has a negative effect on the program and reflects poorly on management.

## PART II

## APPENDIX A

b. Following are guidelines to consider in evaluating the idea:

(1) **Be Prompt.** Read the suggestion as quickly as possible to make sure that the suggestion is in the correct office for evaluation. If not, then immediately return the suggestion to the human resources management office for referral. If you are the appropriate evaluating official, try and prepare your response within a week. If an unusual delay in responding is needed due to testing or completion of a study, provide an interim response with a realistic projected completion date.

(2) **Be Receptive.** Look for ways to use the idea instead of reasons why the idea won't work. Keep an open mind.

(3) **Be Responsive.** In preparing your evaluation, make sure that you fully understand what the employee is suggesting and fully respond to the idea. If you don't understand, contact the employee directly or through the human resources management office. If you cannot adopt the idea, explain why and provide examples and written materials whenever possible to help the employee understand your decision.

(4) **Be Courteous.** As with any correspondence, put yourself in the position of receiving the evaluation and think about how you phrase your response. Even when you cannot provide a positive evaluation, phrase your response in a way to create good will and encourage the employee to continue being creative in his or her thinking.

## 6. PREPARING AN EMPLOYEE SUGGESTION

a. Statistics show that the most successful suggestions come from employees who work directly with the operations or procedures that the suggestion concerns. There is always room for improvement in doing your job so keep an open mind and try to think of ways to improve procedures and operations to make the best use of your time and of taxpayer's dollars.

b. When you do have an idea to improve operations, or a way to eliminate unnecessary paperwork or waste, write it down immediately. You may not develop it at that time, but by writing it down, you are less likely to forget about your idea.

c. When you are ready to develop your suggestion, here are a few steps to help you prepare your proposal to management.

(1) State the problem that currently exists, or the outdated procedure or situation that could be improved.

(2) Explain in as much detail as possible why the problem exists or the procedure adds no value (it may help to do a little research to see if others are having the same problem or if someone else has streamlined procedures in a similar manner), or how the situation could be changed to produce better results.

(3) State in specific terms how you feel the problem could be resolved or procedures modified in order to improve the efficiency or effectiveness of operations.

(4) Explain how your idea will benefit VA, the Government or the public and be as specific as possible (particularly if there are dollar savings you can identify).

d. After you have developed your idea, talk with your supervisor or human resources management office who might be able to further help you develop your suggestion.

e. Submit your idea as soon as possible in writing either using VA Form 3951 or a memorandum.





## EMPLOYEE RECOGNITION AND AWARDS

## PART III. RECOGNIZING INDIVIDUAL AND GROUP CONTRIBUTIONS

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**PART III. RECOGNIZING INDIVIDUAL AND GROUP CONTRIBUTIONS****1. SPECIAL CONTRIBUTIONS**

a. **General Provisions.** Recognition through a cash award, time off award or other honorary or non-monetary means may be granted to an individual employee, group or team of employees in recognition of a contribution, act, service or achievement that benefits VA/Federal Government, or for overall sustained performance beyond normal job requirements. The type and amount of award will be based on the value of the contribution to the organization. In determining the amount of an award, the appropriate table(s) in appendix A of this part will be used. If a ceremony will be used to recognize award recipients, see appendix B of part IV. Members of the Senior Executive Service are not eligible under this part for awards based on overall sustained high level performance.

**NOTE:** *Because recognition has its greatest impact as a motivational tool when it follows closely the contribution being recognized, every effort should be made by supervisors and managers to submit a recommendation as soon as possible after the contribution is made.*

(1) There is no limit on the number of special contribution awards that may be granted to an employee in any given period, either as an individual or as a member of a group or team.

(2) When a special contribution award is based on a group contribution, each contributing employee, including supervisors, should share in the award. The award may be granted in equal shares or in shares which reflect actual demonstrated differences in contributions to the group effort.

(3) Because the basis for monetary recognition is the contribution that was made and resulting benefits and not the number of people in a group effort, the total amount of a group award generally will not exceed the amount that could be authorized if the contribution had been made by one individual. Exceptions to the total amount of a group award may be approved by key officials for award amounts within their delegated approval authority. Reason(s) for the exception must be documented in the recommendation.

(4) Some examples of contributions for which a special contribution award may be appropriate are:

(a) High-level performance on a particular assignment, project or over a sustained period of time;

(b) Creative efforts that resulted in an important contribution to the efficiency or economy of VA operations or improved customer service such as streamlining processes or procedures or a significant reduction in paperwork;

(c) A major medical advancement;

(d) Overcoming unusual, unique, or difficult circumstances in the performance of duties with exceptional results that warrant recognition;

(e) Enhanced service delivery to customers through reengineering of work processes or procedures;

(f) Significant improvements in the quality of services and products for VA customers; and

(g) An act of heroism or unusual courage or competence in an emergency situation which was connected with or related to official employment;

**NOTE:** *See checklist in appendix D of this part for additional examples of contributions that may warrant a special contribution award.*

(5) Examples of situations where a monetary award is not appropriate, but an employee may be eligible for a time off award or other nonmonetary recognition, are included in appendix B of this part.

(6) Generally, award recommendations will be submitted as soon as possible following the contribution. Cash and time off awards recommendations should be submitted using VA Form 4659, Incentive Awards Recommendation and Approval, and will contain a justification that summarizes the contribution and includes a description of the benefits to VA or beyond from the contribution which serve as the basis for the award. The justification may be completed on VA Form 4659a, Checklist for Special Contribution Award Recommendations, as an attachment to VA Form 4659, or on bond paper. Recommendations for special awards programs, such as "On-the-Spot" awards, may be submitted on alternative forms as indicated in the procedures for the special awards programs.

#### **b. Types Of Awards for Special Contributions**

(1) Special Contribution Awards of up to \$10,000 per employee to recognize individual, group or team efforts.

(2) On-the-Spot Awards provide immediate recognition of one-time, short-term efforts that do not meet the minimum requirements for a special contribution award. On-the-Spot Awards may be cash or nonmonetary or both.

(3) A Time Off Award is an excused absence granted to an employee without charge to leave or loss of pay. Time off may be used alone or in combination with other forms of special contribution awards. See appendix F of this part for additional information on time off awards.

(4) Non-monetary awards are discussed in part IV, paragraph 2 of this handbook.

**2. QUALITY STEP INCREASE (QSI).** A quality step increase is an increase to an employee's rate of basic pay from one step of the grade to the next step that is granted in recognition of excellence in performance during the last appraisal cycle. The purpose of such increases is to recognize, on an individual basis, consistently high achievers by granting faster than normal step increases.

**a. Eligibility**

(1) Only General Schedule employees are eligible to receive quality step increases. Employees in occupations identified in 38 U.S.C. 7401(3) are eligible for one-step Special Advancements for Performance, subject to meeting the criteria for QSIs. (See part V, paragraph 6f for specific instructions.)

(2) Quality step increases are not required but may be granted to employees whose overall performance is deemed exceptional as demonstrated by making significant contributions to the accomplishment of organizational goals and objectives, and exceeding the standards on all the elements in the individual's performance appraisal plan.

(3) QSIs are appropriate when an employee's sustained high level of achievement merits faster than normal advancement of basic pay and that employee is not in step 10 of the grade. A QSI not only increases an employee's base pay, but also increases the amount of retirement benefits, the amount of Government life insurance for covered employees, and often results in a higher basic pay adjustment upon promotion of the employee.

**NOTE:** *Because a QSI represents an increase in base pay, this type of recognition may increase an organization's budget well into the future.*

**b. Submission.** Recommendations for quality step increases will be submitted as soon as possible after the end of the appraisal cycle, on VA Form 4659, and will be accompanied by a complete copy of the employee's most recent performance appraisal and a narrative statement on bond paper describing the overall exceptional performance meriting this recognition. VA Form 4652, Request for Personnel Action, should also be provided with the justification to ensure timely processing.

**c. Restrictions.** A quality step increase may not be granted to an eligible employee who has received a quality step increase within the preceding 52 consecutive calendar weeks or who is in step 10 of the pay grade.

**d. Effect on Regular Within-Grade Increases.** An employee who receives a quality step increase does not start a new waiting period to meet the time requirements for a regular within-grade increase. If the increase places the employee in the *fourth or seventh step* of his or her pay grade, however, the waiting period for the within-grade increase is extended by 52 weeks. Because a QSI is intended to recognize and motivate an employee, the avenue most advantageous to the employee should be taken. Also, if the employee is about to be promoted, the QSI may or may not benefit the employee once promoted.

**NOTE:** *The following chart compares the impact of the effective date of a QSI on an employee's progression from step 3 through step 5 of the grade. In the illustration, a decision was made to award a QSI to an employee who is due for a within-grade increase to step 4 in January 2004. The last two columns illustrate how making the QSI effective before or after the due date of the step 4 within-grade increase affects the due date for the within grade increase to step 5.*

Impact of QSI on Regular Within-Grade Increase		
<i>Regular Within-Grade (WGI) Progression</i>	<i>Impact of QSI</i>	<i>Impact When WGI Places Employee in Step 4 of Grade because QSI is delayed</i>
WGI to step 3 - effective 1/03	WGI to step 3 - effective 1/03	WGI to step 3 - effective 1/03
WGI to step 4 - effective 1/04	QSI to step 4 - effective 1/03	WGI to step 4 - effective 1/04
WGI to step 5 - effective 1/06	WGI to step 5 - effective 1/05	QSI to step 5 - effective 1/04*

*\*WGI and QSI may be processed on the same date as the WGI will always be effected first.*

e. **Effective Date.** Quality step increases should be made effective as soon as possible after they are approved unless a short delay would benefit the employee. Because the approval of the increase is a discretionary action, it may not be approved retroactively. However, if an administrative error occurred *after* the increase was approved that caused a delay in the increase being processed, it may be made effective retroactive to the first day of the first pay period following the date of approval.

**3. PRODUCTIVITY SHARING OR GAINSHARING AWARDS.** Productivity sharing or gainsharing programs are subject to the same award criteria that apply to other awards. These are awards that are paid out on a regular recurring basis in recognition of exceeding predetermined levels of productivity during the measurement period. Key officials may establish productivity sharing or gainsharing programs to engage many or all employees in a common effort to achieve gains in productivity, quality or effectiveness and share some portion of the savings resulting from the gains to the employees or groups of employees who, through enhanced teamwork and common commitment, produce those results. Although such programs generally offer monetary incentives, they may also offer or be combined with time off or other forms of recognition.

**NOTE:** *In establishing a productivity sharing or gainsharing program, organizations are encouraged to involve employees in the design and administration of the program to obtain employee buy-in and support of the initiative.*

a. **Coverage.** Gainsharing programs may cover an entire organization, work units, teams or individual employees in specific occupations where output can be measured against preestablished goals.

b. **Defining Performance Measures.** Productivity, quality and/or effectiveness, whichever is being measured, should be defined in terms of resources used to produce measurable results. Compared with baseline data, these programs should include a predetermined method for measuring gains as well as for calculating the amount of any award based on the gain.

c. **Defining Measurement and Award Formulas.** The formulas developed to *determine gains* should generally be related to the nature of the work and the purpose for which the program was

established. The formula developed to *calculate awards* based on gains should be related to a baseline standard to which a value is attached for each increment by which the standard is exceeded. For groups, the formula may also include the method for distributing the award among the employees who produced the gain. The award may be a uniform percentage of base pay, a set dollar amount, scale of time off, or other.

d. **Program Evaluation.** The results of a productivity sharing or gainsharing program should be monitored and evaluated periodically to ensure that the results achieved, and awards driven by them, are consistent with the intent of the program. Results of such reviews may signal the need to adjust standards that are consistently surpassed over time or are affected by new technology or work processes.

e. **Distribution of Awards.** Awards that result from these types of programs should be distributed as closely as possible after the gain has been realized. Awards may be paid on an annual, semi-annual, quarterly, monthly or biweekly basis or may be granted at other intervals based on the nature of the work and the type and size of the awards.

f. **Establishing Productivity Sharing or Gainsharing Programs.** Gainsharing programs should describe:

- (1) Objectives of the awards program (what the program is supposed to achieve);
- (2) Coverage (which employees, groups of employees, work units or occupations are covered by the program);
- (3) Types of outcomes that will be measured (improved productivity, quality, effectiveness);
- (4) How the gains will be determined;
- (5) Type of award that will be provided (flat amount cash award, cash award based on percent of base pay, time off, or other form of recognition);
- (6) How awards will be calculated based on gains;
- (7) Frequency for distributing the awards;
- (8) How, where and/or when the awards will be presented; and
- (9) Frequency and method of program evaluation.

#### 4. ORGANIZATIONAL AWARDS PROGRAMS

a. Organizations are strongly encouraged to develop special awards programs to use along with other Departmental awards, to support specific organizational goals and objectives. These programs link most forms of recognition (monetary, non-monetary and time off) directly to the achievement of specifically defined organizational initiatives such as improved customer service, innovative practices, quality initiatives, elimination of unnecessary work processes or procedures, etc. These awards can also be

**PART III**

used to recognize and reinforce organizationally defined values such as courtesy, employee empowerment, responsiveness to customers, risk taking, etc.

b. In planning and developing a special use awards program, involvement of employees and supervisors at all levels is encouraged to create awareness and understanding of the program's goals and objectives, and to facilitate employee acceptance of the program. Employee input is also useful to ensure that the type of recognition being proposed is meaningful to employees and will serve as a motivator.

c. Special awards programs need to be described in writing and approved by a key official or his or her designee. The description of such programs should include:

- (1) The objective of the awards program (what the program is supposed to achieve);
- (2) The types of contributions that will be recognized (describe criteria and provide concrete examples whenever possible);
- (3) The specific information that nominations must contain (a standardized nomination format will simplify the nomination, review and selection process);
- (4) Who is eligible for an award (certain pay plans, occupations, work units, services/divisions, etc.);
- (5) The type of recognition or award item that will be provided (to the extent possible recognition should be both meaningful to the employee and commensurate with the contribution recognized). Organizations may use existing certificates or design their own for use with special awards programs;
- (6) The frequency and number of awards that will be granted and the award consideration period (monthly, quarterly, annually, on an as-warranted basis, etc.);
- (7) The nomination, screening and approval processes (which should be kept to a minimum to encourage nominations while also ensuring that an accurate description of the contribution justifying the award is provided); and
- (8) How, where and/or when the award(s) will be presented.

d. Information about special use awards programs should be announced and publicized to promote awareness among employees of the opportunity for recognition.

e. Many types of award programs are available to reduce costs and further organizational goals and objectives. Imaginative uses of awards which may be used include, but are not limited to awards that recognize:

- (1) Employee of the Month, Quarter or Year;
- (2) Teamwork and/or cooperation;



- (3) Promoting the use of Best Practices;
  - (4) Promoting exceptional courtesy and responsiveness through written documents (letters, brochures, pamphlets, etc.);
  - (5) Improved work behaviors such as exemplary courtesy and responsiveness to veterans and the public;
  - (6) Recruitment efforts for referring candidates for hard-to-fill positions;
  - (7) Employee participation in the Employee Suggestion Program; and
  - (8) Suggestion Evaluators who provide prompt and responsive evaluations of employee suggestions.
- f. To reinforce the effectiveness of special use awards, it is important to widely publicize the employees recognized under the program. The level at which awards are presented, as well as the involvement of the nominating and approving officials in the presentation of the award, are also important considerations. Newsletters, bulletin boards, articles in local newspapers, etc., can all serve as effective vehicles for the purpose of publicity.
- g. To ensure that legal/regulatory requirements are met, organizations should consult with local Human Resources Offices and Finance Offices and obtain necessary concurrences prior to implementation. Additionally, a copy of the approved special awards program should be maintained by the Human Resources Office as documentation for the program and to expedite processing of requests for recognition to support these programs.
- h. Award justifications used to support granting any special awards may be submitted on VA Form 4659 or in accordance with the provisions of the program. Justifications must be maintained either by the organization's award liaison or the Human Resources office for a period of two years after the approval of the award.
- i. Evaluation of each special use program should be conducted periodically to ensure its effectiveness and need for continuation. This review also provides an opportunity to make changes or reannounce the award program. How and when such evaluation will be carried out should be considered in the development of any special awards program.



## APPENDIX A. AMOUNTS OF CASH AWARDS

1. The extent to which an employee or group of employees makes a contribution in support of VA's mission and the value of that contribution are the bases for granting a monetary award. Such awards are calculated using the appropriate table(s) on the next two pages.

a. Tangible benefits are specific monetary savings that can be calculated. When used as the basis for determining a cash award, tangible benefits are calculated based on an estimate of savings for the first full year. When there are significant nonrecurring costs involved in implementation, the amount of the award may be based on an *average* of the estimated net benefits over a period of up to 5 years.

b. Intangible benefits measure the value of a suggestion or contribution when its worth cannot be calculated in dollars, and considers such factors as value or significance of the contribution, and extent of application and impact.

2. The minimum cash award that may be granted under this program is \$50.

3. A cash award granted under this program is a lump-sum award which is in addition to the regular pay of the recipient and is subject to the withholding of income and Medicare taxes.

4. When a cash award is authorized for a group of employees based on a contribution or suggestion, each contributing employee may share in the award equally or in shares proportionate to each employee's participation in the contribution.

5. Exceptions to application of the scales of awards may be made as follows: (1) a properly calculated cash award for a group of employees may be increased by a reasonable amount if it would not provide a meaningful award (at least \$50 per employee) when divided among the recipients; or (2) a properly calculated cash award for an employee whose contribution falls directly within job requirements, but that is so outstanding that it warrants a cash award, may be reduced.

## PART III

## APPENDIX A

## SCALE OF AWARDS BASED ON TANGIBLE BENEFITS

BENEFITS	AWARD	BENEFITS	AWARD	BENEFITS	AWARD	BENEFITS	AWARD	BENEFITS	AWARD
Up to \$10,000	10%*	50,000	2,200	90,000	3,400	170,000	4,050	1,800,000	12,200
11,000	1,030	51,000	2,230	91,000	3,430	175,000	4,075	1,900,000	12,700
12,000	1,060	52,000	2,260	92,000	3,460	180,000	4,100	2,000,000	13,200
13,000	1,090	53,000	2,290	93,000	3,490	185,000	4,125	2,100,000	13,700
14,000	1,120	54,000	2,320	94,000	3,520	190,000	4,150	2,200,000	14,200
15,000	1,150	55,000	2,350	95,000	3,550	195,000	4,175	2,300,000	14,700
16,000	1,180	56,000	2,380	96,000	3,580	200,000	4,200	2,400,000	15,200
17,000	1,210	57,000	2,410	97,000	3,610	225,000	4,325	2,500,000	15,700
18,000	1,240	58,000	2,440	98,000	3,640	250,000	4,450	2,600,000	16,200
19,000	1,270	59,000	2,470	99,000	3,670	275,000	4,575	2,700,000	16,700
20,000	1,300	60,000	2,500	100,000	3,700	300,000	4,700	2,800,000	17,200
21,000	1,330	61,000	2,530	101,000	3,705	325,000	4,825	2,900,000	17,700
22,000	1,360	62,000	2,560	102,000	3,710	350,000	4,950	3,000,000	18,200
23,000	1,390	63,000	2,590	103,000	3,715	375,000	5,075	3,100,000	18,700
24,000	1,420	64,000	2,620	104,000	3,720	400,000	5,200	3,200,000	19,200
25,000	1,450	65,000	2,650	105,000	3,725	425,000	5,325	3,300,000	19,700
26,000	1,480	66,000	2,680	106,000	3,730	450,000	5,450	3,400,000	20,200
27,000	1,510	67,000	2,710	107,000	3,735	475,000	5,575	3,500,000	20,700
28,000	1,540	68,000	2,740	108,000	3,740	500,000	5,700	3,600,000	21,200
29,000	1,570	69,000	2,770	109,000	3,745	550,000	5,950	3,700,000	21,700
30,000	1,600	70,000	2,800	110,000	3,750	600,000	6,200	3,800,000	22,200
31,000	1,630	71,000	2,830	111,000	3,755	650,000	6,450	3,900,000	22,700
32,000	1,660	72,000	2,860	112,000	3,760	700,000	6,700	4,000,000	23,200
33,000	1,690	73,000	2,890	113,000	3,765	750,000	6,950	4,100,000	23,700
34,000	1,720	74,000	2,920	114,000	3,770	800,000	7,200	4,200,000	24,200
35,000	1,750	75,000	2,950	115,000	3,775	850,000	7,450	4,300,000	24,700
36,000	1,780	76,000	2,980	116,000	3,780	900,000	7,700	4,360,000***	25,000
37,000	1,810	77,000	3,010	117,000	3,785	950,000	7,950		
38,000	1,840	78,000	3,040	118,000	3,790	1,000,000	8,200		
39,000	1,870	79,000	3,070	119,000	3,795	1,050,000	8,450		
40,000	1,900	80,000	3,100	120,000	3,800	1,100,000	8,700		
41,000	1,930	81,000	3,130	125,000	3,825	1,150,000	8,950		
42,000	1,960	82,000	3,160	130,000	3,850	1,200,000	9,200		
43,000	1,990	83,000	3,190	135,000	3,875	1,250,000	9,450		
44,000	2,020	84,000	3,220	140,000	3,900	1,300,000	9,700		
45,000	2,050	85,000	3,250	145,000	3,925	1,350,000	9,950		
46,000	2,080	86,000	3,280	150,000	3,950	1,400,000**	10,200		
47,000	2,110	87,000	3,310	155,000	3,975	1,500,000	10,700		
48,000	2,140	88,000	3,340	160,000	4,000	1,600,000	11,200		
49,000	2,170	89,000	3,370	165,000	4,025	1,700,000	11,700		

\*Award is 10% of actual dollar value of benefit.

\*\*Certain awards over \$10,000 require approval by the Office of Personnel Management (OPM).

\*\*\*Maximum award authorized by OPM. The President may authorize up to an additional \$10,000.

**SCALE OF AWARDS BASED ON INTANGIBLE BENEFITS**

	<b>EXTENT OF APPLICATION</b>		
	<b>LOCAL</b>	<b>REGIONAL</b>	<b>GENERAL</b>
<b>VALUE OF BENEFIT</b>	<p>Affects:</p> <ul style="list-style-type: none"> <li>• one or more field facilities or Central Office organizational elements or staff office, or</li> <li>• a minor change or correction of a VA form , policy, or procedure, or</li> <li>• optional use of an idea or procedure, or</li> <li>• minor change in the area of technology or automation.</li> </ul>	<p>Affects:</p> <ul style="list-style-type: none"> <li>• an entire network, region, or all Central Office organizations, or</li> <li>• ideas approved for optional use in the Department or an administration, or</li> <li>• important area of technology or automation.</li> </ul>	<p>Affects:</p> <ul style="list-style-type: none"> <li>• more than one network, or region,</li> <li>• has impact VA-wide or beyond.</li> </ul>
<b>MODERATE.</b> Change or contribution to an operating principle, practice, procedure or program of limited impact or use.	<b>Up to \$500</b>	<b>Up to \$1,500</b>	<b>Up to \$3,000</b>

EXTENT OF APPLICATION			
	LOCAL	REGIONAL	GENERAL
<b>SUBSTANTIAL.</b> Significant or important change, contribution to, or modification of an operating principle, practice, procedure or program or service to the public.	Up to \$1,500	Up to \$3,000	Up to \$5,000
<b>EXCEPTIONAL.</b> Complete revision or initiation of a major policy, practice or procedure that has significant impact on VA's mission. Major improvement in the quality of a critical product, activity, program or service to the public.	Up to \$3,000	Up to \$5,000	Up to \$10,000

**NOTE:** \$50 is the minimum award that may be granted.

## APPENDIX B. APPROPRIATE USES OF CASH AWARDS

<i>Appropriate</i>	<i>Inappropriate</i>
To Recognize:	
<ul style="list-style-type: none"> <li>◆ a significant contribution involving completion of a difficult project or assignment of importance to the mission of VA</li> <li>◆ completion of a specific assignment or project in advance of an established deadline and/or with favorable results</li> <li>◆ unusual initiative, innovation or creativity in completion of work assignments resulting in improved operations or services</li> <li>◆ unusual courtesy or responsiveness to customers which clearly demonstrates performance beyond the call of duty and reflects favorably on the organization and VA</li> <li>◆ performance (without compensation of any nature) of additional duties over an extended period of time during the absence of another staff member</li> <li>◆ an employee suggestion beyond the normal scope of the job which results in benefits to VA or the Government.</li> </ul>	<ul style="list-style-type: none"> <li>◆ perceived discrepancies in VA's pay system</li> <li>◆ as a farewell gift</li> <li>◆ to recognize good attendance</li> <li>◆ to recognize judicious use of sick leave</li> <li>◆ to recognize performance of additional duties where a temporary promotion was given</li> <li>◆ to recognize additional hours of work when overtime pay or compensatory time was provided for those additional hours</li> <li>◆ as an "incentive" to encourage employees to work in a particular area or on a particular shift</li> <li>◆ as an "incentive" to retire</li> <li>◆ to recognize efforts in connection with voluntary participation as a canvasser for the Combined Federal Campaign, Savings Bonds, Blood Drives, etc.</li> </ul>





**APPENDIX C. SPECIAL AWARDS PROGRAMS**

The use of special awards programs to support organizational goals and objectives, promote teamwork and emphasize organizational values is strongly encouraged. Tremendous flexibility exists within VA's Employee recognition Program to develop and tailor such programs to both meet the needs of employees and the organization. For specific information on establishing special organizational awards programs, consult part III, paragraph 4, and part IV, paragraphs 1b and 2.

Following are some examples of awards programs, including criteria, frequency and types of recognition. These programs can be used to promote teamwork, peer recognition and support good customer relations by permitting peer nomination and nomination by individuals outside of the organization. The options for the types of contributions, who is eligible to receive, who can nominate and form of recognition are many and varied. For example, an entire awards program has been developed using the Olympic Theme, with specially-designed medals for recipients of the top honors.

***Example 1***

**Theme:** Employee of the Month/Employee of the Quarter/Year

**Criteria:** Outstanding employee efforts during the specified period as evidenced by peers, customers, management, etc.

**Type of Recognition:** Cash, time off, non-monetary item or any combination of these forms of recognition.

***Example 2***

**Theme:** Extra Mile, Pointing the Way, Setting the Tone, Customer Service Club, Extra Touch

**Criteria:** Employees who consistently go above and beyond in serving customers, who display leadership or exemplary teamwork in serving the public.

**Type of Recognition:** Cash, time off, non-monetary item or any combination of these forms of recognition.

***Example 3***

**Theme:** Extra Touch Award, Heart of Gold, Pride in People, Sunshine Award, Impact Award, Helping Hands Award

**Criteria:** Recognize exceptional courtesy and responsiveness, positive and friendly attitude, willingness to pitch in and help others.

**Type of Recognition:** Cash, time off, non-monetary item or any combination of these forms of recognition.

SPECIAL AWARDS PROGRAMS (CONTINUED)

*Example 4*

**Theme:** Teamwork

**Criteria:** Exemplary teamwork and results as evidenced by customer feedback, meeting and exceeding organizational goals and objectives through effective team interaction and cooperation, or supporting and demonstrating organizational values.

**Type of Recognition:** Cash, time off, non-monetary item or any combination of these forms of recognition.

In addition to the above examples, special programs can be established to emphasize and recognize individuals or groups who promote and enhance organizational and national goals such as equal opportunity, cost-savings, quality improvement, and paperwork reduction. **Non-monetary recognition in the form of certificates and pins only** may also be used to recognize employees for dependability through conservation of sick leave during specific periods or for those who maintain large balances of sick leave.

## APPENDIX D. PREPARING AWARD JUSTIFICATIONS/NOMINATIONS

### 1. SPECIAL CONTRIBUTION AWARD (SCA)

a. Special Contribution Award is used to recognize an act, service, or achievement **exceeding normal job expectations** by an employee or group of employees. For this reason, the justification should not read like a statement of duties but should describe a specific contribution to the organization or the Department and the benefits of that contribution to VA.

b. Although the process of determining the dollar amount of a SCA is somewhat subjective unless there are measurable (tangible) dollars to cite, there are some general guidelines to follow to help ensure that the special contribution is properly justified and the expenditure of appropriated funds is warranted.

c. Typically, a well-written justification should take only four or five paragraphs and be limited to under one page. Following are some guidelines for formatting and content of those paragraphs:

(1) The first paragraph should serve as an introduction by stating the name of the employee, team, or group being recommended for the award, the award amount and summarizing (one or two sentences) the contribution being recognized. For example, "I am pleased to recommend Mary Smith for a special contribution award of \$500. Ms. Smith is being recognized for ..."

(2) The second paragraph should provide a more detailed description of the contribution including what the employee did, any significant requirements or constraints involving the contribution, and any obstacles the employee had to overcome in order to make the contribution. This information should be described in context of the impact on the organization, VA or the Nation. For example, streamlined procedures to improve nationwide quality and timeliness of veterans claims processing, new procedures to reduce or eliminate patient waiting time at the local facility.

(3) The third paragraph should describe how the benefits identified in the preceding paragraph were determined and, consequently, how the award was calculated. For example, using the scale of awards based on intangible benefits, identify the extent of the value of the contribution "local, regional or general" and the value of the contribution. Does the contribution being recognized represent a minor change with limited impact or an exceptional change affecting a large part of VA and its mission?

(4) The fourth paragraph should simply summarize the recommendation and bring it to closure.

d. For Special Contributions, the checklist appearing at the end of this appendix (VA Form 4659a) may be attached to VA Form 4659 and serve as the justification.

### 2. GUIDE TO PREPARING HONOR AND EXTERNAL AWARDS NOMINATIONS

a. A key to ensuring that Department nominees receive full and fair consideration in award competitions, both internal and external, is a well-written nomination that is easy-to-understand. Even the most noteworthy achievements may go unnoticed by an award selection committee if the

**PART III****APPENDIX D**

nomination is not skillfully presented. Additionally, some sponsors require specific information in a specific format and will not consider nominations, regardless of how great the contributions are, if nominating procedures are not followed. Because there is often a very short time frame in which to respond to the sponsor's request for nominations, there is often no time to go back to the nominating official to correct nominations or obtain additional information. In such cases where the nomination is incomplete or errors are present, the nomination may not be considered by the Department due to the deadline. Common errors include typographical errors and use of acronyms that are not defined at all or when first used.

b. The following is intended to serve as a checklist by individuals preparing award nominations for Departmental and external awards programs to help ensure that the nomination is prepared in such a way as to receive the greatest consideration. The checklist is divided into two areas: General Information and Substantive Information.


**3. GENERAL INFORMATION**

- a. Have the award announcement, criteria, and requirements been thoroughly reviewed and is there a clear understanding of the type of contribution that the award sponsor is seeking?
- b. Is the person assigned to develop the nomination a skilled writer?
- c. If not, has someone been assigned to edit the nomination to ensure quality/accuracy?
- d. Is the nomination in the proper format?
- e. Has all requested information been provided in the appropriate order?
- f. Is the nomination free of typographical, grammatical and punctuation errors?
- g. Have all acronyms used in the package been defined the first time they are used?
- h. Have you avoided abbreviations which might not be familiar to all reviewers?
- i. Does the package present an overall neat appearance?
- j. Have signatures, endorsement letters, references, person to contact for further information, pictures of nominees, or other similar items been provided when required?
- k. Have nominees signed the release of information form?
- l. Have the appropriate number of copies been forwarded?
- m. Has a top level official (facility Director, Associate Director or Chief of Staff) reviewed the nomination package before forwarding it to Central Office?

#### 4. SUBSTANTIVE INFORMATION

- a. Has all relevant information to support the nomination been gathered? (Statistics, relevant information from veterans, veterans groups or community leaders, newspaper clippings or other publicity, etc.)
- b. Once gathered, has supporting documentation been analyzed to select for use that which is most relevant to the award criteria and overall purpose of the award?
- c. Has maximum use been made of the information which highlights VA's mission of quality and compassionate service to the Nation's veterans and their beneficiaries? (Particularly effective in award programs stressing service to the public.)
- d. Have general statements been addressed by specific facts and achievements? (It is not sufficient to say that someone has been an effective administrator, manager, public servant, etc. Support such statements with facts and examples that support such statements.)
- e. Has the scope of the nominee's achievements been adequately portrayed? (The achievements of many VA employees go far beyond the local level, e.g., achievements may be significant throughout an occupational group or profession on a nationwide basis or have impact not only on the total veteran population but on other major segments of the Nation's or world's population.)
- f. Have dollar figures, workload figures, or other relevant statistics been used? (Statistics are particularly effective for award programs which recognize use of managerial skills resulting in savings, increased productivity or efficiency levels, cost avoidance, etc.)
- g. When appropriate, does the nomination adequately portray the direct influences/effects (e.g., saving lives, relieving pain, caring for the disabled, assisting a grieving family, etc.) the nominee and his/her achievements may have had on real people (veterans, their families, beneficiaries, members of the local community, etc.)?
- h. When appropriate, has the nominee's activities outside the Department of Veterans Affairs been properly emphasized (e.g., volunteer work, public speaking, community involvement, publications, as appropriate)?
- i. Is the narrative portion of the nomination clear and concise, does it flow smoothly, and is it of an appropriate length? (Many award programs specify the length of narrative justifications. For those that do not, it is best to limit the narrative to the 2-4 page range. More does not necessarily mean better.)



 <b>Department of Veterans Affairs</b>		AWARD JUSTIFICATION
<b>INSTRUCTIONS:</b> Use this form to provide the justification for awards as an attachment to VA Form 4659, Recognition of High Level Performance. Check the applicable type(s) of contribution in the first column and briefly describe the accomplishment in the corresponding box in the second column. The narrative statement should clearly describe the specific accomplishment and not merely paraphrase the type of contribution listed in the first column. Include the information regarding the benefit of the contribution to the organization. See example below:		
TYPE OF CONTRIBUTION	CITE SPECIFIC EXAMPLE OF EMPLOYEE'S (GROUP'S) EFFORT	
Automation, modification or reengineering of work process, practices or procedures	The A team developed an automated system for submission and tracking of xyz work orders. This decreased the average time to deliver the service to our customers from 5 to 3 days.	
<b>CHECKLIST FOR SPECIAL CONTRIBUTION AWARD RECOMMENDATIONS</b>		
TYPE OF CONTRIBUTION	CITE SPECIFIC EXAMPLE OF EMPLOYEE'S (GROUP'S) EFFORT	
<input type="checkbox"/> Unusual Initiative		
<input type="checkbox"/> Creativity and/or innovation in solving a problem or establishing a new procedure or practice		
<input checked="" type="checkbox"/> Unusual effort in completion of assignment, task, or project	Due to extended absence of a coworker, Ms. Smith provided double coverage from March 13 through April 12, performing the essential duties of both jobs in an exemplary manner.	
<input type="checkbox"/> Unexpected benefits ( <i>either tangible or intangible</i> ) to the organization or beyond from employee's efforts		
<input type="checkbox"/> Demonstration of a high level skill and ability in completion of assignment or task		
<input type="checkbox"/> Demonstration of exceptional teamwork or teambuilding		
<input type="checkbox"/> Exceptional courtesy or responsiveness to a customer		
<input type="checkbox"/> Preparation of exceptional written materials		
<input type="checkbox"/> Automation, modification or reengineering of work processes, practices or procedures		
<input type="checkbox"/> Other ( <i>describe</i> )		
<input type="checkbox"/> Other ( <i>describe</i> )		
ADDITIONAL COMMENTS:		





## APPENDIX E. DECISIONS RELATED TO AWARDS AND NECESSARY RECOGNITION EXPENSES

IDENTIFIER	DATE	TOPIC	SUMMARY
B-241987 70 Comp. Gen. 440	4/91	Necessary Expenses ( <i>Per Diem</i> )	Pursuant to the Government Employees Incentive Awards Act, Agency heads have discretion to issue travel orders and pay the travel expenses of the spouse of an employee award recipient to attend the awards ceremony. The travel authorizing official has broad discretionary authority under OPM guidance to establish the amount of per diem and the point of travel departure and return.
B-236040 70 Comp. Gen. 16	10/90	Necessary Expenses ( <i>Award Banquet Fees</i> )	Permits an agency, under certain circumstances, to pay fees for its employees to attend local banquets where they have been nominated by their agency to receive an award from an interagency coordinating group.
69 Comp. Gen. 38 (B-233607)	8/89	Necessary Expenses ( <i>Travel for winner and guest</i> )	Permits an agency head to pay travel expenses for an employee and an employee's guest if his or her presence would further the purposes of the awards program.
66 Comp. Gen. 536 (B-223895)	6/87	Necessary Expenses ( <i>Refreshments at ceremonies</i> )	Permits agency expenditures for refreshments at a ceremony conducted under the authority of the Government Employees' Incentive Awards Act as a "necessary expense."
65 Comp Gen. 738 (B-223319)	7/86	Necessary Expenses ( <i>Refreshments at ceremonies</i> )	Permits an agency head to provide for <i>light refreshments</i> in connection with a ceremony honoring Federal employees under the Government Employees Incentive Awards Act, and permits payments for such expenditures from appropriated funds. See also B-271511 (March 4, 1997), approving the use of appropriated funds to purchase food or food vouchers for use as nonmonetary award under the Government Employees Incentive Awards Act.
55 Comp. Gen. 800 (B-166802)	2/76	Necessary Expenses ( <i>Travel of attendant for disabled employee receiving award</i> )	Permits an agency to pay for the travel of an attendant for a disabled employee requiring an attendant who must travel to receive an award provided the employee otherwise was unable to attend the ceremony.
B-111642	5/57	Necessary Expenses ( <i>Travel for surviving spouse to receive award</i> )	Permits an agency to pay travel expenses for a surviving spouse to attend an awards ceremony and receive an award posthumously for a contribution made by the decedent.

## DECISIONS RELATED TO AWARDS AND NECESSARY RECOGNITION EXPENSES (CONTINUED)

IDENTIFIER	DATE	TOPIC	SUMMARY
B-172556	12/71	Entry Fees (Contests)	Held that payment of a contest entry fee may be permissible where the prize is awarded to the agency and not to the individual and where there is sufficient justification that the expense will further the objects of the appropriation. The use of appropriated funds to enter other contests would depend upon the nature of the contest, the nature of the prizes and to whom they are awarded, and on the agency's justification that the expenses are necessarily incurred to carry out agency functions. NOTE: This case involved a general appropriation question. The Government Employees Incentive Awards Act was NOT the basis for the approving this appropriation. <u>See also</u> B-247563.3 (April 5, 1996), where the Comptroller General denied a VA expenditure to enter a contest involving a competitive fitness event where the event was deemed to be a personal activity.
B-256399	6/94	Award Items	Permits the purchase, as a form of recognition under the awards program, of items such as tickets to local sporting events or local amusement parks. See also B-271511 (March 4, 1997) permitting the use of meals or food vouchers as informal recognition awards.
B-243025	5/91	Necessary Expenses (Non-Monetary Awards-Jackets)	Permits the FAA to procure 100 jackets at a cost of \$50 each to be presented as honorary awards finding that agencies have the authority to procure items at nominal cost to be used as honorary awards under the Incentive Awards Act.
67 Comp. Gen. (B-227559)	3/88	Necessary Expenses (Non-Monetary Awards - #1 Telephones)	Permits the Defense Depot to purchase telephones in the shape of a number "1" for use as career service or honorary awards, but does not permit their use as awards for employees' reduced usage of sick leave.

## DECISIONS RELATED TO AWARDS AND NECESSARY RECOGNITION EXPENSES (CONTINUED)

IDENTIFIER	DATE	TOPIC	SUMMARY
B-230062	12/88	Necessary Expenses ( <i>Non-Monetary Awards-posters</i> )	Permits the Army to purchase framed posters as "prizes" for winners of drawings held at national conventions of student organizations attended by the Army. The expenditure was allowed because the purpose of the prize was to collect names to further the recruiting efforts, a specific mission for which funds were appropriated. NOTE: This case involved a general appropriation question. The Government Employees Incentive Awards Act was NOT the basis for approving this appropriation. <u>But see</u> B-247563.3 (April 5, 1996), where the Comptroller General denied VA recruitment expenditures for items such as shoelaces, pens and scissors that contained the VA logo.
46 Comp. Gen. 662 (B-160464)	2/67	Non-monetary Only for Career Service Recognition	Authorizes honorary recognition for career service and retirement, but does not authorize cash awards based solely on length of service or retirement.



## APPENDIX F. TIME OFF AWARDS

### 1. GENERAL PROVISIONS

a. Time off awards may be granted to an individual or group of employees for contributions that benefit the Department.

b. The amount of a time off award is subject to the following:

(1) The minimum time off award is 4 hours, except for VHA full-time physicians, dentists, optometrists and podiatrists, who may only be granted time off in increments of 1 day (8 hours equivalent).

(2) Time off awards will be granted in increments of 1 hour.

(3) Not more than 40 hours may be granted to an employee for a specific contribution.

(4) The maximum amount of time off that may be granted to any employee during a 12 month period is 80 hours.

(5) Time off must be used by the employee in increments of 1 hour, except that VHA full-time physicians, dentists, optometrists and podiatrists must use in 1-day increments.

c. Normally, each time off award must be used within 180 days after the date on which it was approved. At the request of the employee, a supervisor may extend the period of time to use a time off award for an additional 180 days. In no case may the total period for use of the award exceed 1 year from the date the time off award was granted. Failure to use an award within the prescribed period will result in the employees forfeiture of any unused portion of the award.

d. Time off awards may be transferred when an employee changes jobs or organizations within VA. Time off awards may not be transferred to another Federal agency if an employee leaves VA and, likewise, time off will be forfeited upon an employee's separation from VA and may not be treated as annual leave for lump sum payment purposes. Time off may not be reccredited to a former employee if reemployed by VA.

e. Time off awards may not, under any circumstances, be converted to a cash payment, to an employee or group of employees.

**2. COVERAGE.** Employees who earn leave under the provisions of 5 U.S.C., chapter 63 or 38 U.S.C., chapter 74 and VA Handbook 5011, Hours of Duty and Leave.

**PART III**

**APPENDIX F**

**3. EXCLUSIONS.** Employees in the Senior Executive Service and equivalents appointed under title 5 or title 38.

**4. DETERMINING TIME OFF AWARDS**

a. Time off awards may be used in conjunction with special use award programs. The time off award may be granted in addition to any monetary or honorary award already provided for in the design of the program. No more than 1 work day of time off may be granted when used to supplement special award programs that already offer another form of recognition.

b. When using time off to supplement a cash award, care should be taken to ensure that total recognition is commensurate with the contribution.

c. In determining the amount of time off to grant in recognition of a single contribution or for sustained high-level achievement, use the scale at the end of this appendix.

**5. ADDITIONAL RESPONSIBILITIES**

a. To the extent possible, management should ensure that time off granted as an incentive is used promptly both to reinforce the motivational value of this form of recognition and to ensure that the employee does not have to forfeit his or her time off award.

b. In granting this form of recognition, management should weigh organizational priorities to ensure that the employee will have an opportunity to use the number of hours of time off being awarded within the period available for its use.

**6. SCHEDULING, RECORDING AND ACCOUNTING FOR TIME OFF**

a. Although time off is not a category of leave, current procedures for requesting and scheduling use of discretionary leave (i.e., annual leave, leave without pay) will apply to time off awards. At a minimum, employees must request time off and obtain supervisory approval for absence in advance of its use. Action on each request will be made in consideration of factors which are normally considered in granting discretionary leave.

b. Each time off award granted must be recorded and tracked separately to ensure use by its expiration date. Under the direction of supervisors, timekeepers will be responsible for tracking time off accumulated and used as a subsidiary record to the electronic timecard for employees in their organization in accordance with instructions in MP-6, part V, supplement 2.2.

c. Upon transfer of a VA employee to another VA facility, supervisors will be responsible for ensuring that information on any unused time off balance is provided to the servicing human resources management office for recording on VA Form 3918, Intra-agency Transfer Request, in the "Remarks" section. The amount(s) of unused time off and respective expiration date(s) must be annotated. Human Resources Management officials at the gaining facility must ensure this information is provided to the new supervisor who, in turn, will ensure the appropriate timekeeper is provided this information for recordkeeping purposes. Since time off awards have a specific expiration date, expedited transfer of this information is essential.

**SCALE OF TIME OFF AWARDS**

<b>VALUE TO ORGANIZATION</b>	<b>NUMBER OF HOURS</b>
<b>MODERATE</b>  Change or contribution to an operating principle, practice, procedure or program of limited impact or use.	Up to 12
<b>SUBSTANTIAL</b>  Significant or important change, contribution to or modification of an operating principle, practice, procedure or program or service to the public.	Up to 24
<b>EXCEPTIONAL</b>  Complete revision or initiation of a major policy, practice or procedure that has significant impact on VA's mission. Major improvement in the quality of a critical product, activity, program or service to the public.	Up to 40



EMPLOYEE RECOGNITION AND AWARDS

PART IV. HONOR AND NON-MONETARY AWARDS

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**PART IV. HONOR AND NON-MONETARY AWARDS.**

**1. VA HONOR AWARDS.** These awards include a suitably inscribed certificate, plaque, desk or office item or other similar item that has an honor connotation. Honorary awards are an integral part of the Department's recognition and awards program and are available in a variety of forms to recognize a wide range of one-time or career achievements. As with other forms of recognition, these awards can also be used to support the achievement of organizational goals and objectives and should be incorporated as much as possible into organizational awards program. The costs associated with granting these awards can be minimal and, depending on the level of approval and presentation as well as the method of presentation, their value as a motivator can be significant. Honor awards are distinguished from non-monetary awards by the criteria, level of the official approving and presenting the award and the few numbers of these awards granted. Generally, the cost of such awards is less than \$50. (See appendix A of this part and appendix C of part III for information on traditional honor awards and other creative honor awards that have been used.)

**a. Secretary's Honor Awards Program**

(1) The Secretary approves and personally presents a number of awards to employees or groups of employees in recognition of exceptional efforts that support VA's mission, distinguished VA or Federal careers, outstanding community service and for acts of heroism. A listing of these awards, along with criteria and nominating procedures, appears in appendix A of this part. In addition to awards that recognize VA employees, the Secretary also recognizes contributions by private citizens or private organizations who make contributions in support of VA's mission.

(2) Awards Liaisons will prepare VA Form 50-1, Request for Security Clearance, on all employees in their organization being recommended for an award by the Secretary. In unique or unusual circumstances, a request to waive this requirement with appropriate justification may be made to the Assistant Secretary for Human Resources and Administration.

**b. Organizational Honor Awards Programs.** Key VA officials are strongly encouraged to establish honor awards programs to supplement those granted by the Secretary which primarily focus on significant contributions to the goals and objectives of their organization. A listing of some of these awards, along with criteria, appears in appendix A of this part.

**c. Service Recognition**

(1) **Length of Service.** While not technically an award because an employee need not perform above job requirements to be recognized, service recognition is an accepted part of VA's employee recognition and awards program. Service pins and certificates are available starting with 10 years of service through 50 years at 5-year intervals and should be presented as close as possible to the employee's anniversary date.

**NOTE:** *Service Awards at 50 years or above are from the Secretary. (See appendix A of this part for information on processing service awards for 50, 55, 60 and 65 years of service.)*

(2) **Approving Officials**

(a) Key officials are authorized to present other non-monetary items, particularly for service of 30 years of more, in addition to the VA-wide pins and certificates.

**NOTE:** *Cost implications of providing such items should be considered, particularly for the lower years when a large number of employees will reach these milestones.*

(b) Key officials will sign service award certificates or may redelegate this authority to a lower level.

(3) **Service Computation.** Credit is given for all Federal service, both creditable military and civilian. The length of service is based on the employee's service computation date except for retired members of the uniformed services.

(4) **Recognition at the Time of Retirement.** Since awards are intended to not only recognize employees for their special efforts, but are intended to motivate the recipient and others who witness the presentation, generally it is inappropriate to reward employees monetarily when they leave VA service either through retirement or separation. It may be fitting and appropriate to consider awarding some form of honor or nonmonetary award in recognition of their dedicated efforts to support VA's mission. Several options are available to recognize an employee leaving VA. The type of recognition chosen and the level at which it is approved should correspond to the scope and importance of career achievements and/or the level of dedication and exceptional service to VA.

(a) **Retirement Certificate (and matching pin).** The retirement certificate can be given to any employee leaving VA service through retirement. The retirement pin may also be given.

(b) **Certificate of Commendation.** A certificate, bearing a personalized citation and signed by a key official for significant contributions to an organization or the Department.

(c) **Outstanding Career Award.** A certificate with generic citation which recognizes outstanding accomplishments either within or outside normal job requirements over a prolonged period of time.

(d) **Exemplary Service Award (formerly Honor Award).** A certificate, bearing a personalized citation and signed by the head of an organization, presented for contributions of major significance to an organization or the Department. Typically, if given at retirement, the award recognizes exceptional career contributions.

(e) **Distinguished Career Award.** A certificate, bearing a generic citation, suitably framed with a gold medal, and a lapel pin. This award recognizes an individual who has made significant contributions that have VA-wide or national impact.

d. **Documentation.** Unless otherwise indicated, recommendations for Honor Awards are submitted on VA Form 4659.

**2. NON-MONETARY AWARDS**

a. **Non-monetary Awards.** Non-monetary awards are becoming one of the more popular types of incentives used in VA for a number of reasons. The nominal cost (generally up to \$50) of such items in an era of declining budgets and limits on spending, the ability to have such items on hand to be used to immediately recognize an employee or team efforts, and the variety of items that can be used that provide a unique and different incentive for employees. Such incentives, when used to immediately reinforce an employee contribution of limited impact and value, can be as, if not more, effective than cash in motivating an employee or group of employees.

b. **Non-monetary Versus Honor Awards.** Although these forms of recognition may overlap (a certificate can be both an honor award and a non-monetary award), these forms of recognition are distinguished generally by the level of contribution required and level at which they are approved and presented. Typically honor awards recognize exceptional contributions of great importance to the Department. As with any form of recognition used, the recommending official should try to ensure that the recognition being suggested both fits the contribution and the employee(s) being recognized. For example, a non-monetary award item would be inappropriate to recognize a significant contribution such as a medical breakthrough but might be appropriate to give someone to thank them for completing a rush assignment.

c. **Types of Non-monetary Awards.** A full range of items from a certificate of appreciation, to a gift certificate to a favorite restaurant, to an item the employee can wear such as a T-shirt, jacket or scarf to an appropriate desk item such as a calculator, pen, clock, radio, etc. are available using appropriated funds. These items can only be procured when used in connection with a formally established award program or to be used in connection with recognition. Such use must be documented in writing when ordering. (See appendices C and E of part III for examples of non-monetary incentives used with special awards programs and decisions on the appropriateness of such items.)

d. **Inappropriate Uses.** Items purchased under the authority of VA's employee recognition program may not be given away randomly, but must be used as recognition for an employee's or group's efforts. For example, items with no intrinsic value such as buttons and magnets handed out in connection with public service recognition week, or nurses week or for a historical event like the 50th anniversary of the signing of the GI Bill are not considered awards under VA's employee recognition programs but are considered mementos as there is no linkage between the item being handed out and a special act, service or achievement by the employee. For further information on the appropriateness of mementos, consult guidance issued by the Office of Financial Policy.

### 3. EXTERNALLY SPONSORED AWARDS

a. The Department is invited to participate in a number of externally sponsored honor awards programs which offer the opportunity to further recognize the achievements of VA employees. Appendix A of this part contains a list of a number of external awards programs in which VA has traditionally participated. In addition, there are many local or regional awards programs announced each year in which field facilities may participate. Officials should explore every opportunity to recognize the exceptional achievements of VA employees and publicize their efforts both within VA and beyond.

b. A Release of Information Statement is requested to be signed by each employee nominated for an external honor award. This statement, once signed, gives VA the right to disclose the contents of the nomination to other sources, as requested, for the purpose of publicity. The personal privacy of an employee who declines the release of such information should be safeguarded.

c. Awards Liaisons will prepare VA Form 50-1 on all employees being recommended by their organization for an external award that is approved by the Secretary. In unique or unusual circumstances, a request to waive this requirement with appropriate justification may be made to the Assistant Secretary for Human Resources and Administration.

**APPENDIX A. HONOR AWARDS GUIDE**

This appendix provides information regarding the following honor awards:

1. Secretary's honor awards
2. Internal and external honor awards
3. Organizational awards
4. Service awards from the Secretary (50, 55, 60, + 65 years of service)

1. SECRETARY'S HONOR AWARDS\*

Type of Award	Eligibility	Criteria	Form of Award	Due Date
Exceptional Service Award	Any VA employee or group of VA employees	In recognition of outstanding contributions of major significance to VA, the Federal Government or the Nation, including exceptional leadership, skill or ability in administration of a major program, extraordinary initiative or creativity in the development of a major improvement; exceptionally successful use of human resources as evidenced through high workforce productivity, a major contribution to science and technology, an exceptional contribution in the public interest related to official employment or exceptional accomplishment significantly contributing to VA's mission. <b>NOTE:</b> <i>Award is not to be used as a retirement or farewell award unless cumulative career achievements warrant this high level of recognition.</i>	Gold Medal and Citation signed by the Secretary and framed. A lapel pin is also provided. When granted to a group, the group will receive one award and no lapel pins will be provided.	At any time a contribution meeting criteria has been made. Nominees for this award could have received Meritorious Service Award.
Meritorious Service Award	Any VA employee or group of VA employees	Granted in recognition of significant contributions to the Department that approach but do not meet the standards for the Exceptional Service Award. Typically these awards are used as a stepping stone to receipt of VA's highest honor, the Exceptional Service Award.	Silver Medal and Citation signed by the Secretary and framed. A lapel pin is also provided. When granted to a group, the group will receive one award and no lapel pins will be provided.	At any time a contribution meeting criteria is made.
Distinguished Career Award	Any VA employee who is retiring or departing VA	This is the highest award that can be given to an employee leaving the Department and recognizes cumulative achievements of an employee who has rendered truly distinguished service throughout a VA career. It may be granted for accomplishments over a prolonged period involving the exercise of authority or judgment in the public interest and in advancement of VA's mission or for professional, scientific, or administrative achievement that received widespread recognition both within and outside of VA. Nomination should cite tangible evidence of employee's contributions to VA. It is expected that individuals nominated for this award will have received other recognition during their career.	Gold Medal and Citation signed by the Secretary and framed. A lapel pin is also provided.	Any time an employee meeting criteria leaves VA.



**SECRETARY'S HONOR AWARDS (CONTINUED)**

Type of Award	Eligibility	Criteria	Form of Award	Due Date
Award for Valor	Any VA employee or group of VA employees.	For exhibiting great courage with voluntary risk of personal safety to prevent the loss of human life or government property. Contributions typically will be job related although non-job related acts of heroism may be considered. For those contributions representing good deeds where personal safety and welfare of employee is not threatened, a Secretary's Commendation can be considered. A commendation can also be considered more appropriate for non-work related acts of heroism.	A plaque from the Secretary. An honorarium of up to \$1,500 can also be awarded by the employee's key official.	As soon as possible after such an act or deed occurs.
Certificate of Commendation	A VA employee or group of employees. May also be granted to private citizens.	Granted for special efforts in the public interest in relation to official employment of such outstanding merit that recognition at the Secretary's level is appropriate. It may also be used at retirement or departure from VA to recognize outstanding career achievements that approach but do not meet the criteria for the Secretary's Distinguished Career Award (DCA).	Certificate of Commendation with citation signed by the Secretary.	At any time that criteria are met.
Certificate of Appreciation	A VA employee or group of employees. May also be granted to private citizens.	This is a general purpose award that may be granted to an individual VA employee, group of employees or private citizens for special contributions in the public interest that is related to official employment and is of such outstanding merit that an honor award granted at a lower organizational level would be inadequate. This award may also be granted for work-related or non-work-related acts of heroism in which the employee's life was not endangered. It may also be granted at time of retirement to recognize cumulative career achievements which approach but do not meet the standards for the Secretary's DCA. The award is a certificate with citation.	Certificate of Appreciation signed by the Secretary.	At any time to serve as an official thank you.

**Nominating Procedures:** *VA Form 4659, along with appropriate narrative justification, must be submitted through appropriate channels and approved (or concurred in) by the organization's key official, prior to being forwarded to the Office of Human Resources Management for processing.*

\*Additional competitive awards, such as Olin E. Teague, Hands & Heart, Equal Employment Opportunity, etc. are announced throughout the year. Brief descriptions of such awards appear in the internal and external awards chart.

## **2. INTERNAL AND EXTERNAL HONOR AWARDS**

Following is a listing of Honor Awards programs sponsored by the Secretary of Veterans Affairs and outside organizations to recognize VA employees or organizations for their contributions to public service. The list is not all-inclusive as there are many local and regional awards programs which are not included. Please consult your local human resources office or human resources liaison for additional information on these awards.

**Olin E. Teague Award (VA)**

A VA award program to recognize the achievements in the rehabilitation and improvement in the quality of life of war-injured veterans. The award is honorary.

**Public Service Excellence Awards**

To pay tribute to public organizations whose achievements exhibit the highest standard of excellence, innovation and accomplishments. The awards are honorary.

**Secretary's Outstanding Volunteer Awards (VACO only)**

To recognize an individual or group of Central Office employees whose contributions to volunteer activities within their communities serve as examples of public involvement by Federal employees. The awards are honorary.

**Secretary's Award for Outstanding VA Employee with Disabilities (VA)**

To recognize a VA employee who has performed in a consistently outstanding manner despite physical limitations.

**Awards for Achievement in Information Technology/American Management Systems**

To provide special recognition of senior executives and professionals who have made significant contributions to their organizations through especially effective use of computer systems and communications technology. The awards are honorary.

**Mary D. Pinkard Leader in Federal Equity Award/Federally Employed Women Legal and Education Fund**

To recognize Federal employees whose contributions have advanced the cause of equity in Federal employment, at personal and professional risk to themselves, and who have provided a positive role model to other Federal employees. The awards are honorary.

**National Capital Area Chapter of ASPA Awards/American Society of Public Administration (ASPA)**

To recognize outstanding contributions to the field of public administration and to the Chapter. There are four categories of awards: (1) the Outstanding Public Service Awards; (2) the Elmer B. Staats Award for accountability in Government; (3) the Chapter Service Awards; and (4) the Special Recognition Awards. The awards are honorary.

**OPM Director's Awards for Outstanding Federal Health/Fitness Programs/ Office of Personnel Management (OPM)**

To (1) recognize Federal organizations which provide effective health/fitness programs for their employees; (2) encourage the establishment/improvement of quality health/fitness programs; and (3) identify and publicize exemplary health/fitness programs that may serve as models for other organizations. Ten honorary awards are given annually.

**GEICO Public Service Awards/ Government Employees Insurance Company (GEICO)**

To recognize career Federal employees for significant achievement and contribution in each of the following categories: (1) Substance Abuse Prevention Treatment; (2) Fire Prevention and Safety; (3) Physical Rehabilitation; and (4) Traffic Safety and Accident Prevention. A plaque and a \$2,500 cash award are presented to the winner in each of the four categories.

**Emmett Leahy Award/Institute of Certified Records Managers**

To recognize outstanding individual accomplishments and professional contributions which have significantly advanced the information and records management profession. This award is honorary.

**Air Force Association's VA Employee of the Year Award**

To recognize significant contributions to the mission of VA/Air Force Association by an employee or group of employees, with emphasis on the achievements of VA employees in serving America's veterans. It increases public knowledge and appreciation of the dedication and personal commitment of VA employees and encourages VA employees to strive for excellence in their daily work. No announcement is issued. Candidates for this program are individuals who received consideration for other internal/ external award programs. VACO manages this program. The award is a plaque, presented at the annual AFA convention in Washington, DC.

**Secretary's Annual Equal Employment**

A VA award program to recognize and highlight

**Opportunity Awards (VA)**

achievements made by VA employees in furthering VA's goals in the area of equal opportunity. The awards are a plaque and cash award.

**Executive Excellence Awards/  
Senior Executives Association**

To recognize career senior executives who have made significant contributions to improving the efficiency, effectiveness and productivity of the Federal Government as well as those whose performance has improved the image of the career Senior Executive Service. The awards are honorary.

**Secretary's Hands and Heart Award (VA)**

A program to recognize an employee in each medical facility who consistently does the most to provide emotional support, help, and guidance to patients, above and beyond the call of duty. It is emphasized that eligibility for this award encompasses the whole spectrum of personnel involved in direct patient care. The awards are honorary.

**IPMA Leading Edge Awards/  
International Personnel Management  
Association (IPMA)**

To recognize Federal employees in the personnel administration career field for singular accomplishments, and to encourage greater achievement among all Federal employees in the personnel administration field. The awards are honorary.

**Roger W. Jones Award for Executive  
Leadership/The American University**

have

To recognize career executives in the Federal Government whose Leadership has resulted in outstanding organizational achievement and who

successfully fostered the development of managers and executives for career service. The awards are honorary.

**Executive of the Year Award/Federal  
Executive Institute Alumni Association**

To recognize extraordinary achievement in executive management and leadership in Federal, state and local governments. The award is honorary.

**Donald L. Scantlebury Memorial Awards/  
Joint Financial Management Improvement  
Program**

To recognize senior financial management executives who, through outstanding and continuous leadership in financial management, have been principally responsible for significant economies, efficiencies and improvements in Federal, state, or local government. The awards are honorary.

**The William A. Jump Memorial Award/**  
The William A. Jump Memorial Foundation

To recognize and encourage outstanding and deserving career employees (under the age of 37) for sustained growth, development, integrity, and interest in the field of public administration. The awards are honorary.

**Common Cause Annual Public Service Achievement Awards/Common Cause**

To recognize public servants, citizen activists, elected officials at all levels of government reporters, or other citizens who have made an outstanding contribution to the public interest in the areas of government performance and integrity. The awards are honorary.

**Arthur S. Flemming Awards/Downtown**  
Jaycees of Wash., D.C.

To honor outstanding Federal employees (under 40 years of age) who have performed meritorious work for the Government. The purpose of these awards is to attract outstanding persons to the Federal Government, to encourage high standards of performance in the Federal service, and to enhance appreciation of our form of Government and the opportunities it represents. The awards are honorary.

**Women in Science and Engineering Awards/Interagency Committee for Women in Science and Engineering**

To recognize a specific or special scientific or technical contribution by a woman scientist or engineer in the Federal service in facilitating the advancement of women in science or engineering. The awards are honorary.

**National Public Service Awards/American Society for Public Administration**  
National Academy of Public Administration

To pay tribute to public service and practitioners whose careers exhibit the highest standard of excellence, dedication and accomplishment. These awards underscore the need to have creative and highly skilled individuals as managers of complex and demanding government functions. The awards are honorary.

**Innovations in American Government**

To recognize various programs, sponsored by the Ford Foundation and particularly those which involve the John F. Kennedy School of Government interagency collaboration at Harvard University, tap the creativity of frontline employees, reshape agency missions and routines, or entail significant policy departures. Grants of \$100,000 will be awarded to the top 15 programs chosen by the National Selection Committee. Fifteen finalists will receive grants of \$20,000.

**FTS 2000/General Services Administration**

To recognize those individuals and groups who, in their use of FTS services (including local telecommunications services), have improved the quality and/or cost effectiveness of telecommunication services for their agency or FTS program.

**Henry Betts/Prince Charitable Trusts**

This award honors an individual who has made significant contributions to the quality of life for people living with physical disabilities. The recipient will receive a \$50,000 prize and a commemorative crystal.

**Frontrunner Awards**  
sponsored by the Sara Lee Corporation

To recognize outstanding women who have excelled in four areas: the arts, business, government and the humanities. One recipient in each category will receive a specially-designed crystal and copper sculpture. In addition, \$25,000 per winner will be donated to a not-for-profit women's organization of the recipient's choice.

**OPM Work and Family Programs**

To recognize those Federal organizations that are: providing innovative and effective work and family programs. Organizations will receive a plaque and a congratulatory letter.

**3. ORGANIZATIONAL AWARDS\***

Type of Award	Eligibility	Criteria	Form of Award	Due Date
Exemplary Service Award	Any VA employee or group of VA employees.	This is the highest award given by an organization head and recognizes distinguished accomplishment(s) within the organization, including extraordinary leadership, skill, or ability in administration or performance of duty; employment-related heroism, outstanding deeds of courage, competency in an emergency, or for outstanding contributions in the public interest related to official employment. May also be used for retirement purposes when career achievements warrant recognition at this level.	A personalized certificate signed by the organization head.	As soon as possible after such an act or deed occurs.
Commendation	A VA employee or group of employees. May also be granted to private citizens.	Granted for special efforts in the public interest in relation to official employment of such outstanding merit that recognition at the organization head's level is appropriate. It may also be used at retirement or departure from VA to recognize outstanding career achievements that approach but do not meet the criteria for higher level recognition.	Certificate of Commendation with personalized citation signed by the organization head.	At any time that criteria are met.
Certificate of Appreciation	A VA employee or group of employees. May also be granted to private citizens.	This is a general purpose award that may be granted to an individual VA employee, group of employees or private citizens for special contributions in the public interest that may or may not be related to official employment. This award may also be granted for work-related or non-work-related acts of heroism in which the employee's life was not endangered. It may also be granted at time of retirement to recognize cumulative career achievements which approach but do not meet the standards for the higher recognition. The award is a certificate with citation.	Certificate of Appreciation signed by the organization head.	At any time to serve as an official thank you.

\*Organizations may establish additional honor awards programs tied to accomplishment of organizational goals and objectives.

**PART IV  
APPENDIX A****4. PROCEDURES FOR REQUESTING SERVICE AWARDS FROM THE SECRETARY  
(50, 55, 60, AND 65 YEARS OF SERVICE)**

a. Extraordinary careers spanning 50 years or more of Federal service are recognized by the Secretary with a personal letter, signed certificate and pin. For 55, 60 and 65 years of service, recognition includes a letter from the President and a plaque, in addition to a letter from the Secretary.

b. Requests for such recognition should be prepared and submitted as soon as possible (preferably not later than 30 days prior to the eligibility date) to ensure timely recognition of these rare and exceptional service milestones. The request can be in the form of a memorandum to the Deputy Assistant Secretary for Administration (035), through appropriate organizational channels. Within VHA, requests should be submitted through appropriate local organizational channels to the Director, Management Support Office (102A), VA Central Office. To ensure proper and timely processing, the following information should be included with your request:

- (1) Full name of the employee, including any titles, and whether the letter should be addressed to Mr., Ms. or Mrs.;
- (2) Employee's title, facility name (or VACO organization) and mailing address;
- (3) Employee's Service Computation Date (please verify the date before submitting request);
- (4) Total years of service (broken down by dates of service for civilian positions held, position titles, and Federal department or agency). If the employee has military service, include the years of service, rank and branch of service;
- (5) Date employee achieves service milestone;
- (6) Brief statement or listing of awards/honors received;
- (7) Information on ceremonial arrangements (who will present and when ceremony is planned); and
- (8) Contact person and phone number in case additional information is needed.



## APPENDIX B. CEREMONY CHECKLIST

1. Just as it is important that the recognition granted match the contribution that was made, the method of presentation should also match the individual and the contribution made. For on-the-spot or non-monetary award items, there may be little ceremony involved and if a ceremony is held, it might be brief and informal. For the more prestigious awards granted, a more formal setting or event may be appropriate. Regardless of the method of presentation selected, it is important to publicize employee achievements and recognition, even minor ones. Such publicity not only is a source of pride to the recipient of the recognition, but serves as an incentive to others to make contributions above and beyond job requirements and shows management's commitment to recognizing such efforts.

2. You may find the following checklist of areas/items helpful in planning an event:

- a. Establish the date of the ceremony based on the availability of key officials/speakers/presenters and, of course, recipients;
- b. Budget for such an event (cost of award(s), reception, decorations, etc.);
- c. Invitation list and invitations -- establish RSVP date at least a week in advance of event to make final arrangements for refreshments;
- d. Confirm the availability of people who may need to be there - 1) Master of Ceremonies, 2) Key Officials, 3) Photographer, 4) Chaplain, etc. (helpful to do in writing);
- e. Determine location for event;
- f. Arrange for podium or microphone for speakers (if necessary);
- g. Make up and price ceremonial booklet, including the anticipated numbers;
- h. Procure awards, prepare certificates, etc. (including getting certificates signed and framed, arrangements for checks if monetary awards are involved, etc.);
- i. Determine food selections (including paper products, utensils, beverages);
- j. Determine food source -- canteen, caterer, ask for donations of light refreshments from employees;
- k. Plan and procure modest decorations, including flower arrangements, corsages/boutonnieres for recipients;
- l. Determine if travel expenses are justified (and therefore authorized) and any necessary arrangements in connection with such travel;
- m. Make accommodations for hearing and/or physical impairments;

- n. Obtain flags for ceremony (both US and VA if appropriate to the setting);
- o. Arrange for photographer;
- p. Prepare speeches for master of ceremonies and other key speakers highlighting the event and the accomplishments of those being recognized; and
- q. Arrange for building clearances for visitors (friends/families of recipients) that might be invited to the ceremony.

## EMPLOYEE RECOGNITION AND AWARDS

## PART V. TITLE 38 SPECIAL ADVANCEMENTS AND CASH AWARDS

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**PART V. TITLE 38 SPECIAL ADVANCEMENTS AND CASH AWARDS**

**1. SCOPE.** This part contains policies, procedures and guidelines governing the advancement of physicians, dentists, podiatrists, optometrists, registered nurses, nurse anesthetists, physician assistants and expanded-function dental auxiliaries appointed under authority of 38 U.S.C. 7401(1) or 7405(a); pharmacists, physical therapists, occupational therapists, certified respiratory therapists, registered respiratory therapists, and licensed practical or vocational nurses appointed under authority of 38 U.S.C. 7401(3) or 7405(a). Excluded are facility directors, chiefs of staff, medical and dental residents appointed under authority of 38 U.S.C. 7406, and health care executives appointed under 38 U.S.C. 7306.

**2. REFERENCES**

- a. 38 U.S.C., chapters 73 and 74
- b. VA Directive 5017

**3. PERSONS AUTHORIZED TO APPROVE ADVANCEMENTS.** The Under Secretary for Health, or a designee, shall approve all advancements of employees covered by this part. (See appendix A of this part.)

**4. CRITERIA FOR SPECIAL ADVANCEMENT FOR ACHIEVEMENT (SAA)**

a. **Physicians and Dentists.** Full-time, part-time, and intermittent physicians and dentists may be advanced within the grade from one to five steps [on the basis of professional achievement above that expected for the grade level or assignment providing they have demonstrated a high level of performance and potential for assumption of greater responsibility. Such achievement may be demonstrated by professional attainments in health care management, education, research, or patient care worthy of national or international recognition.](#)

b. **Podiatrists and Optometrists.** Full-time, part-time, and intermittent podiatrist and optometrists may be advanced within the grade from one to five steps [on the basis of professional achievement above that expected for the grade level or assignment providing they have demonstrated a high level of performance and potential for assumption of greater responsibility. Examples of professional achievement are:](#)

[\(1\) Outstanding and exceptional achievement as evidenced by receipt of official recognition from a recognized professional or academic organization.](#)

[\(2\) Significant professional attainment in research or contributions to podiatric or optometric science and patient care worthy of publication in a national or international journal of high regard within the respective professions.](#)

c. **Registered Nurses and Nurse Anesthetists**

(1) **Criteria.** Full-time, part-time and intermittent registered nurses and nurse anesthetists may be advanced within the grade from one to five steps on the basis of professional achievement provided they have demonstrated excellence in performance above that expected for the grade level or assignment and potential for assumption of greater responsibility. Such achievement may be demonstrated by:

(a) Recognition of professional groups such as certification by the appropriate national certifying body (except where such certification is required as a condition of employment) or election to an office in a national professional society; or

(b) Professional attainments in research or contributions to the advancement of health sciences and patient care worthy of national or international recognition; or

(c) Receipt of professional awards at the State or national level in recognition of significant and distinguished contributions to nursing, nurse anesthesia, or health care delivery.

(2) **Number of Steps.** The relationship between the number of steps to be granted and the size of the pay range should be considered when granting special advancements under this paragraph. For example, if an employee is in a grade with a 133 percent pay range, a five-step advancement should only be granted in extremely unusual situations where there is a clearly documented history of truly exceptional achievement.

(3) **Nurse Anesthetists.** Nurse anesthetists appointed on and after May 4, 1993, may not be given an SAA based on certification by the Council on Certification of Nurse Anesthetists. Certification is a condition of employment and may not be used as a basis for an SAA.

d. **Physician Assistants.** Full-time, part-time and intermittent physician assistants may be advanced within the grade from one to five steps on the basis of professional achievement above that expected for the grade level or assignment provided they have demonstrated excellence in performance and potential for assumption of greater responsibility. Examples of such achievements include, but are not limited to:

(1) A graduate level degree in a field related to the Department's health care mission;

(2) Appointment to a university faculty position;

(3) Significant contributions to the Department's health care mission. Such accomplishments may result from leadership or exceptional efforts on facility, regional or national task forces or committees, or by serving as a consultant on matters relating to education research, health care management, or quality of care issues;

(4) Recognition of outstanding and exceptional achievement by a professional or academic organization;

(5) Election to office in a professional organization at the State or national level;

(6) Independently producing or serving as a principal assistant or major contributing member on research producing publishable results that advance patient care or medical science; or

(7) Attainment of specialty certification within the occupation. This does not include certification as a physician assistant by the National Commission on Certification of Physician's Assistants, which is a condition of employment as a physician assistant in VHA.

e. **Expanded-Function Dental Auxiliaries.** Full-time, part-time, and intermittent expanded-function dental auxiliaries may be advanced within their grade from one to five steps on the basis of professional achievement above that expected for the grade level or assignment provided they have demonstrated excellence in performance and potential for assumption of greater responsibility. Such achievement may be evidenced by:

(1) Completion of significant research in either the biomedical or health care delivery area and publication of these results in a recognized journal.

(2) Recognition of outstanding and exceptional achievement by receipt of an official award and publication of these results in a recognized journal.

(3) Academic achievement by completion of a postgraduate degree in a related health care field.

f. **Pharmacists and Occupational Therapists.** Occupational therapists and pharmacists may be advanced within their grade from one to five steps for professional achievement provided they have exhibited a high level of performance and show potential for assumption of greater responsibilities. To the extent possible, all employees should be encouraged to seek developmental opportunities that could enhance their personal qualifications and be afforded fair and equitable opportunity to accomplish such achievements. Such achievement may be evidenced by:

(1) **Professional or Academic Awards.** A professional or academic organization award which is generally recognized as indicative of exceptional competence as a pharmacist or occupational therapist. This includes board certification, provided that same board certification is not used as a basis for qualifying an individual for appointment or promotion.

(2) **Related Postgraduate Degrees.** Completion of a postgraduate degree or other advanced educational programs (e.g., certificates of advanced studies, Ed.D., Ph.D.) which will enhance the individual's ability to function as a pharmacist or OT.

(3) **Research and Publication.** Research or other contributions to the advancement of occupational therapy or pharmacy and patient care worthy of publication in a recognized professional journal.

(4) **Other Reasons.** Examples include appointment to a State licensing board, election to an office in a national professional organization, or appointment to a national certifying or accrediting body relating to the practice of occupational therapy or pharmacy.

g. **Physical Therapists.** Physical therapists may be advanced within the grade from one to five steps for professional achievement provided they have performed excellently and show potential for assumption of greater responsibility. Examples of such achievement are:

(1) **Professional or Academic Awards.** A professional or academic organization award which is generally recognized as indicative of exceptional competence as a physical therapist.

(2) **Related Postgraduate Degrees.** Completion of a postgraduate degree in a related healthcare field.

(3) **Research and Publication.** Research or other contributions to the advancement of physical therapy and patient care worthy of publication in a recognized professional journal.

(4) **Other Reasons.** Election to an office in a national professional society.

h. **Certified Respiratory Therapists and Registered Respiratory Therapists.** Certified respiratory therapists and registered respiratory therapists may be advanced within the grade from one to three steps on the basis of professional achievement above that expected for the grade level or assignment provided they have demonstrated excellence in performance and potential for assumption of greater responsibility. Such achievement may be evidenced by:

(1) Completion of significant research in either biomedical science or health care delivery and publication of these results in a recognized journal.

(2) Recognition of outstanding and exceptional achievement by receipt of an official award from a professional or academic organization.

(3) Academic achievement by completion of a postgraduate degree in a related health care field.

i. **Licensed Practical/Vocational Nurses.** Licensed practical/vocational nurses may be advanced within the grade one step provided they have excellence in performance and show potential for assumption of greater responsibility. Examples of such achievement are:

(1) An outstanding achievement or award which results from significant contribution(s) to the delivery of patient care and recognizes exceptional competence as an LPN/LVN.

(2) Completion of an academic degree, normally in a related health care field, which would enhance the employee's ability to provide better patient care.

(3) Election to an office in a national practical/vocational nursing society.

**5. PROCESSING AND DOCUMENTING SPECIAL ADVANCEMENTS FOR ACHIEVEMENT (INCLUDING USE OF STANDARDS BOARDS).** See appendices B and C of this part.

**6. CRITERIA FOR SPECIAL ADVANCEMENT FOR PERFORMANCE (SAP)**



a. **Consideration.** Full-time, part-time and intermittent physicians (other than chiefs of staff), dentists, podiatrists and optometrists in Executive grade and below and registered nurses (other than nurse executives), nurse anesthetists, physician assistants, and expanded-function dental auxiliaries who have demonstrated a sustained high level of performance and professional competence over and above that normally expected of employees in the particular grade and profession, or who have made noted contributions in some phase of their profession, may be considered for Special Advancements for Performance (SAP). Pharmacists, occupational therapists, physical therapists, certified respiratory therapists, registered respiratory therapists, and licensed practical or vocational nurses may be considered in accordance with paragraph f below.

b. **Physicians, Dentists, Podiatrists and Optometrists.** An advancement of three steps, not to exceed the maximum of the grade, may be granted in lieu of and on the same due date established for a periodic step increase. Two steps may be granted when employee is at the eighth step of the grade. The employee must have demonstrated a sustained high level of performance as evidenced by the following examples:

(1) Demonstration of exceptional skills and aptitudes in the care and treatment of patients.

(2) Actual assumption of greater professional and/or administrative responsibility. Faculty appointment (post residency) at the rank of instructor or above may be considered as a greater responsibility.

(3) Significant research.

(4) Significant clinical contribution (including publication).

c. **Registered Nurses and Nurse Anesthetists.** An advancement of one step within the grade may be granted to covered employees when there has been a demonstrated sustained high level of performance and ability over and above that normally expected of employees in the particular grade and profession. In addition, one or more of the criteria listed in chapter 4, paragraph 6 of part III of VA Handbook 5005, Staffing, must be met.

**NOTE:** *Nurse executives will continue to be considered for step increases through the annual step rate review process and are not eligible for SAPs.*

d. **Physician Assistants.** The employee must have demonstrated a sustained high level of performance and ability over and above that normally expected of employees in the particular grade and profession or there must have been noted contributions in some aspect of health care. Criteria for one-step advancement will be demonstrated superior performance as evidenced by:

(1) Assumption of a major responsibility in administering a major patient care program.

(2) Significant accomplishments associated with an academic program conducted in affiliation with the facility where the physician assistant is employed.

e. **Expanded-Function Dental Auxiliaries.** The employee must have demonstrated a sustained high level of performance and ability over and above that normally expected of employees in the particular grade and profession or there must have been noted contributions in some phase of health care. Criteria for 1-step advancement will be demonstrated by superior performance as evidenced by:

(1) Demonstration of exception skills and aptitudes in the care and treatment of patients.

(2) Significant accomplishments associated with an academic program conducted in affiliation with the VA facility where the person is employed.

f. **Pharmacists, Occupational Therapists, Physical Therapists, Certified Respiratory Therapists, Registered Respiratory Therapists, and Licensed Practical or Vocational Nurses.** Generally, the Quality Step Increase provisions in part III, paragraph 2 of this handbook will be used to grant one-step special advancements for performance for employees in these occupations. However, the recommendations of supervisory officials will be referred to the appropriate Standards Board for review. Approval of such advancements shall be based on the findings and recommendations of the Board.

## **7. PROCESSING AND DOCUMENTING SPECIAL ADVANCEMENTS FOR PERFORMANCE.** See appendices C and D of this part.

### **a. Physicians, Dentists, Podiatrists, and Optometrists**

(1) Approximately 90 days prior to the employee's completing the waiting period for a periodic step increase or rate adjustment, the facility will receive from the Austin Automation Center (AAC), VA Form 97, Notice of Pending Personnel Action, in duplicate, identifying the employee and stating that the employee is eligible for consideration for Special Advancement for Performance. An advancement of three steps, not to exceed the maximum of the grade, may be granted in lieu of and on the same due date established for a periodic step increase. Two steps may be granted when employee is at eighth step of the grade. Human Resource Management Officers shall assure that appropriate officials will be notified in anticipation of eligibility. **NOTE:** *For physicians and dentists only: Local officials may approve a Special Advancement for Performance retroactive to the date of the periodic step increase when, through administrative error, the advancement was not granted on the due date.*

(2) The advancement shall be regarded as an equivalent increase.

(3) No two such advancements may be granted in succession within the grade.

**b. Registered Nurses, Nurse Anesthetists, Physician Assistants, and Expanded-Function Dental Auxiliaries**

(1) An advancement of one step, not to exceed the maximum of the grade, may be granted at any appropriate time within any period of 52 weeks.

(2) The advancement shall not be regarded as an equivalent increase or in lieu of a periodic step increase.

(3) No more than one such advancement may be granted within any single 52-week period.

c. **Hybrids.** Employees in occupations identified in 38 U.S.C. 7401(3) are eligible for one-step special advancements for performance, subject to meeting the criteria for QSIs.

**NOTE:** *Nurse Executives, Chiefs of Staff and Chiefs of Pharmacy Service will continue to be considered for step increases through the annual step rate review process and are not eligible for Special Advancements for Performance.*

**8. CRITERIA FOR CASH AWARDS FOR FULL-TIME, PART-TIME, AND INTERMITTENT REGISTERED NURSES AND NURSE ANESTHETISTS APPOINTED UNDER 38 U.S.C. 7306, 7401(1) AND 7405**

a. **General.** Cash awards under this paragraph are in addition to special advancements mentioned previously in this chapter. A registered nurse or nurse anesthetist may not receive a Special Advancement for Performance and a Special Contribution Award based on the same performance, nor may they receive a Special Advancement for Achievement and a Special Contribution Award based on the same achievement or contribution. However, when it is determined appropriate, a registered nurse or nurse anesthetist may be granted a Special Advancement for Performance or Achievement and a cash award for exemplary job performance and exemplary job achievement as outlined in paragraph c below.

b. **Specialty Certification.** Specialty certification is a mechanism for recognizing employees who have been certified by the appropriate national certifying body. For this paragraph, specialty certification includes second and subsequent certifications, but does not include recertification or renewal of previously held certifications. Certification also includes advanced certification, provided the requirements for advanced certification are clearly in addition to basic certification.

(1) **Cash Awards.** The Director or designee must grant a cash award of up to \$2,000 to covered employees who become certified while on VA rolls in a specialty related to the accomplishment of VA's health care mission.

**(2) Establishment of Written Policy Concerning Cash Awards for Specialty Certification****(a) Responsibilities:**

1. Facility directors shall establish written policies for granting cash awards for certification.

2. The Human Resources Management Officer will be responsible for developing and coordinating these policies with appropriate facility officials prior to the facility Director's approval.

(b) The amount of the award shall be based on criteria established by the facility Director (see subparagraph (d) below); however, awards may also take into consideration management and/or Standards Board recommendations, including decisions concerning the relatedness of a certificate to the facility's health care mission or an employee's assignment;

(c) To the extent feasible, the policy statement should include information on specialty certification that does not establish eligibility for a cash award because it has been locally determined that the particular certification is not related to the facility's health care mission ; and

(d) The following criteria may be used when granting cash awards for certification:

1. Whether the certification is based solely on experience, or on experience and successful completion of a comprehensive examination;

2. The relationship of the certification to the employee's assignment;

3. Proration of the award based on part-time or intermittent employment;

4. Employee performance;

5. Facility recruitment or retention needs; and

6. Any other criteria considered appropriate.

(3) Cash awards for certification should be made within a reasonable time after the employee presents a copy of the certificate to the appropriate facility official. A copy of the certificate is to be filed on the right side of the employee's personnel folder.

(4) Covered employees who became certified before April 7, 1991, or who become certified before becoming covered employees are not eligible for cash awards for specialty certification.

(5) Nurse anesthetists appointed or re-appointed on or after May 4, 1993 must be certified by the Council on Certification of Nurse Anesthetists as a condition of employment. They are not eligible for cash awards for specialty certification.

c. **Exemplary Job Performance and Exemplary Job Achievement.** Facility directors may grant a cash award of up to \$2,000 to registered nurses and nurse anesthetists who demonstrate both exemplary job performance and exemplary job achievement. To receive an award, the employee's latest Proficiency Report must be High Satisfactory or above, and the employee must meet the criteria under one of the following paragraphs:

- (1) Significant and distinguished contribution(s) in some phase of health care as evidenced by original research, writings, and publications in professional media of stature (e.g., reference journals);
- (2) Special recognition in the fields of teaching or professional practice;
- (3) Special competence in the occupation as evidenced by service with professionally recognized committees or groups, responsible office in professional societies above the local level, or consultative services within the profession. The competence attained must be supported by achievement of renown on a regional or wider basis;
- (4) Expertise in specialized treatment modalities, outstanding competence as a clinical practitioner, or significant contributions concerning some aspect of the profession; or
- (5) Other appropriate evidence of professional stature equivalent to the above.



## APPENDIX A. PERSONNEL AUTHORIZED TO APPROVE ADVANCEMENTS

### Under Secretary for Health or designee

- Advancements of those covered by the scope of this handbook when the Under Secretary for Health or designee is the appointing official.

### Network Directors

- Advancements of those covered by the scope of this handbook and VA Directive 5017 when Network Director is the appointing official.

### Facility Directors

- Advancements of physicians.
- Advancements of optometrists.
- Advancements of podiatrists.
- Advancements of dentists (staff dentists, service chiefs and positions comparable to service chief) and expanded-function dental auxiliaries.
- Advancements of registered nurses and nurse anesthetists.
- Advancements of physician assistants.
- Advancements of pharmacists. Facility directors may also delegate to the Chief of Pharmacy Service the advancement of pharmacists in noncentralized assignments below GS-13 and assistant chiefs of Pharmacy Service at GS-13.
- Advancements of occupational therapists. Facility directors may also delegate to chief of staffs the advancements of occupational therapists in noncentralized assignments below GS-13.
- Advancements of registered respiratory therapists. Facility directors may also delegate to chiefs of staff the advancements of registered respiratory therapists.
- Advancements of certified respiratory therapists. Facility directors may also delegate to chiefs of staff the advancements of certified respiratory therapists.

**PART V**

**APPENDIX A**

- Advancements of licensed practical or vocational nurses. Facility directors may also delegate to nurse executives the advancements of licensed practical or vocational nurses.
- Advancements of physical therapists. Facility directors may also delegate to chiefs of staff the advancements of physical therapists.



**APPENDIX B. PROCESSING SPECIAL ADVANCEMENTS FOR ACHIEVEMENT**

<b>HOW TO PROCESS A SPECIAL ADVANCEMENT FOR ACHIEVEMENT</b>		
<b>A</b>		<b>B</b>
<b>S T E P S</b>	If an employee meets criteria specified in part V, paragraph 4 and is	then take the following steps
<b>1</b>	a physician, dentist, podiatrist, optometrist, registered nurse, nurse anesthetist, physician assistant, expanded-function dental auxiliary, physical therapist, registered respiratory therapist, certified respiratory therapist, licensed practical or vocational nurse, occupational therapist, or pharmacist	At the time of achievement, the employee may be recommended for advancement. Recommendations will be made to the Standards Board by the chief of service or Chief of Staff as appropriate.
<b>2</b>		The Standards Board will make specific recommendation as to the appropriate number of steps to be granted. The board action with supporting justification will be forwarded to the HRM office.
<b>3</b>		The HRM office will forward the file through channels to the appropriate approving official.
<b>4</b>		Special advancements for achievement will be made effective on the first day of the pay period following administrative approval of the advancement.



**APPENDIX C. DOCUMENTATION OF ADVANCEMENTS ON SF 50-B,  
NOTIFICATION OF PERSONNEL ACTION**

Category of Employee	Appointment Authority	Nature of Action	Legal Authority	VA Required Remarks
physicians, dentists, podiatrists, optometrists, registered nurses, physician assistants, expanded-function dental auxiliaries and nurse anesthetists	38 U.S.C. 7401(1)	“Administrative Pay Increase”  “Administrative Pay Increase”	38 U.S.C. 7403	“Special Advancement for Performance”  “Special Advancement for Achievement”
physicians, dentists, podiatrists, optometrists, registered nurses, physician assistants expanded-function dental auxiliaries and nurse anesthetists	38 U.S.C. 7405(a)(1)	“Administrative Pay Increase”  “Administrative Pay Increase”	38 U. S. C. 7405(b)	“Special Advancement for Performance”  “Special Advancement for Achievement”
pharmacists, occupational and physical therapists, registered respiratory therapists, certified respiratory therapists, and licensed practical or vocational nurses	38 U.S.C. 7401(3)	“Administrative Pay Increase”  “Administrative Pay Increase”	38 U.S.C. 7403	“Special Advancement for Performance”  “Special Advancement for Achievement”

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**PART V**  
**APPENDIX C**

**APRIL 15, 2002**

Category of Employee	Appointment Authority	Nature of Action	Legal Authority	VA Required Remarks
pharmacists, occupational and physical therapists, registered respiratory therapists, certified respiratory therapists, and licensed practical or vocational nurses	38 U.S.C. 7405(a)(1)	“Administrative Pay Increase”  “Administrative Pay Increase”	38 U. S. C. 7405(b)(2)	“Special Advancement for Performance”  “Special Advancement for Achievement”

**APPENDIX D. PROCESSING SPECIAL ADVANCEMENTS FOR PERFORMANCE**

<b>HOW TO PROCESS A SPECIAL ADVANCEMENT FOR PERFORMANCE</b>	
<b>A</b>	<b>B</b>
<p><b>S</b> <b>T</b> <b>E</b> <b>P</b> <b>S</b></p> <p>If employee meets the criteria specified in part V, paragraph 6 and is a</p>	then take the following steps
<p><b>1</b></p> <p>a physician, dentist, podiatrist, or optometrist</p>	<p>Upon receipt of VA Form 5-97, Notice of Pending Personnel Action, the HRM office will forward the original VA Form 5-97 to the employee's service chief through the Chief of Staff, or to the Chief of Staff, as appropriate. The duplicate copy of the notice will be placed in the pending file in the HRM office.</p>
<b>2</b>	<p>Upon receipt of the advance SF-50B, for the periodic step increase or rate adjustment, the HRM Office will remove the duplicate VA Form 5-97 from the pending file. This will be sent with SF-50B to the service chief through the Chief of Staff, or to the Chief of Staff as appropriate.</p>
<b>3</b>	<p>If the employee is recommended for advancement, recommendation will be submitted to the Standards Board.</p>
<b>4</b>	<p>The Standards Board will submit its recommendation on VA Form 10-2543, Board Action, to the HRM Office through the Chief of Staff.</p>
<b>5</b>	<p>The HRM office will forward the board action through channels to the appropriate approving authority listed in appendix A of this part.</p>

HOW TO PROCESS A SPECIAL ADVANCEMENT FOR PERFORMANCE (CONTINUED)	
A	B
6	In the absence of recommendation for advancement, or if the recommendation for special advancement for performance is disapproved, the normal procedures for periodic step increases or rate adjustments will be followed. (See VA Handbook 5007, part III, chapter 5, paragraph 1.)
7	If the recommendation is approved, Standard Form 52, Request for Personnel Action, will be initiated by the operating official. The effective date will be the same as the due date for the periodic step increase or rate adjustment.
8	If the employee is recommended for advancement, the recommendation will be submitted to the appropriate Standards Board by the chief of service or Chief of Staff, as appropriate.
9	See steps 4 and 5 above.
10	If the recommendation is approved, Standard Form 52, Request for Personnel Action, will be initiated by the operating official. The effective date will be the first day of the pay period following administrative approval.